



# IP GENERAL REGULATIONS

A STANDARD FOR QUALITY ASSURED PRODUCTION  
FROM PRIMARY PRODUCTION TO FOOD HANDLING

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# GLOSSARY

## ACCREDITATION

A formal proof from the national accreditation body (in Sweden it is Swedac) of a company or organization that has the competence to perform certain tasks regarding testing, control and certification. The competence, working practices and an independence with regard to certification bodies, is regularly audited by Swedac.

## ALL-IN-ALL-OUT SYSTEM

All-in-all-out system is a system where a stock is divided into smaller groups with individuals of similar age. They have their own barn or own barn section. The insertion of a new animal group takes place within a limited time period and not until the barn or the barn section is completely emptied and completely cleaned. The animals in the different animal groups must not have contact with each other.

## ALTERNATIVE REFRIGERANTS

Ammonia with a GWP value of 0 and carbon dioxide with a GWP value of 1.

## A/C

Agent/Coordinator. A/C is a legal entity who, on behalf of SKAB, represents SKAB in another country, a region or an industry. The activity of the A/C is not regulated in the IP General regulations but in an agreement between SKAB and the A/C.

## ANESTHESIA

Intentionally induced process that leads to an animal losing consciousness and the ability to feel pain.

## APIARY

The place where the beekeeper places his hives.

## APPROVED LIST

A current list of all group members in the PGC, that indicates if they are approved, warned, suspended or excluded.

## AUDIT

A systematic and independent study to determine whether activities and the results of these activities are in line with planned arrangements and whether these arrangements are applied effectively and are appropriate to achieve the objectives. Source: EU 2017/625.

## AUDIT CERTIFICATE

A certificate denoting that each individual B/P that is affiliated in a group are included in the certification of the PGC.

## BASE LEVEL CERTIFIED RAW MATERIALS

Raw products produced under the Base level production standards.

## BATCH

Manufacturing Batch/Lot/Batch

## BIOLOGICAL PESTICIDES

A biological pesticide is a biotechnological organism and can be either a biocidal product or a plant protection product. In biological control, natural enemies are often used for the pests to be controlled. Such enemies can be microorganisms such as bacteria, viruses and fungi or macro-organisms such as nematodes (roundworms), insects or arachnids, so-called NIS. Source: Kemi.se

## BLOODING

Opening of larger arteries (blood vessels that go from the heart) so that the blood flows quickly out of the body.

## B/P

Business (farming business, garden business, animal transporter, slaughterhouses, wholesaler, food processor)/Primary producer.

## BREAK CROP

A crop that can provide yield-enhancing effects in cereal-dominated crop rotations by, amongst other things, providing nutritional supplements from the preceding crop and crop residues and by having an inhibitory effect on soil-borne fungi and insects. Examples of break crops are grass, linseed and oilseed crops..

## CASCADE PRINCIPLE

The cascade principle means, among other things, that a veterinarian may prescribe, in individual cases, prescriptions that are not approved for the animal species or use a different dose/method of administration than that approved for the preparation.

## CB

Certification Body

## CERTIFICATE

A testimonial, certified by an independent party that certain conditions have been fulfilled. In this document "certificate" is limited to a written proof that has been issued by a certification body with a guilty accreditation.

## CERTIFICATION

A testimonial certified by an independent party that certain conditions have been fulfilled. In this document "certificate" is limited to a written proof that has been issued by a certification body with a guilty accreditation.

## CERTIFICATION STATUS

Description of the phase of the certification process. B/Ps are either; registered, certified, suspended or excluded.

## COMMISSION TRADE

The company does not own the products but is a mediator between the seller and buyer. Usually the commission trade does not have any product supply. (Also, agency trading, trade intermediation).

**COMPANIES WITHOUT PHYSICAL HANDLING OF FOOD**

Food company whose activities do not include any kind of physical handling of food.

**CONDITIONAL MEDICATION**

This means that, under certain conditions, a farmer can have medicines at home and start treatment himself if certain specific symptoms occur.

**CONTRACT GROWER**

A B/P that via a contract leases the land to the PCF and implements cultivation measures on behalf of the PCF under its instruction. Contract growers do not have any certificate.

**CORE BUSINESS**

Essential and significant part of the company's business that is typical for the production/operations.

**CORPORATION**

A legal entity is a company or an organization that has its own legal capacity. This means that the corporation can be judged in court without consequences for an individual. For example, stock companies, trading companies, limited partnerships, economic associations, foundations and bankrupt's estate.

**CRITICAL CONTROL POINT (CCP)**

A function (for example, handling, process) to which a controlling measure can be applied and is necessary to prevent or eliminate a foodborne hazard or reduce it to an acceptable level. *Source: HAZARD ANALYSIS AND CRITICAL CONTROL POINT (HACCP) - SYSTEM AND GUIDELINES FOR ITS APPLICATION, Appendix to CAC / RCP 1-1969, Rev. 4 (2003)*

**CUT OFFS**

Raw material in fishmeal/fish oil that comes from fish purification, i.e. meat and by-products that remain after processing of food fish.

**ELECTRIC STUNNING**

A method used to make fish unconscious during slaughter by exposing fish to electricity in high power.

**ENERGY AUDIT**

A systematic mean to evaluate current energy usage and find measures to reduce it.

**ENTREPRENEUR**

A person or a company carrying out the duties within a defined competence.

**EQUIVALENT CARBON DIOXIDE**

(CO<sub>2</sub>e) Unit for comparing the climatic effects of different gases, expressed in the amount of carbon dioxide which equivalent climatic effect.

**FAMILY MEMBER**

Wife / husband / partner and relative in the ascending and descending lines. Relative, including foster and fosterling, (minor or under guardian), living together with the employer or belonging to the employer's household.

**FERTILIZATION PLAN**

A tool to plan the company's use of fertilizers. The basis for the fertilization plan is the farm's manure quantities, manure analysis and soil sampling data for the individual fields. The fertilization plan is a tool to adjust the fertilization levels in the best way regarding climate and yield.

**FEED FISH**

Raw material in fish meal/fish oil that has been caught wild or cultivated and where the whole fish is intended to be included in feed.

**FIFO**

In this standard, the abbreviation FIFO is used in two contexts. Partly in connection with breeding of fish and crustaceans when FIFO stands for "Fish in: Fish out", i.e. a ratio of how much fish raw material is required in feed in relation to how much food fish is produced. Partly in connection with food processing when the "first in first out" (FIFO) principle is applied when storing food. FIFO (meaning Fish in: Fish out) is calculated as below.

FCR (Feed Conversion Ratio)

$$\text{FCR} = \frac{\text{total amount of feed during a production period}}{\text{(weight at slaughter - weight at introduction)}}$$

$$\text{FIFO (fish oil)} = \frac{\text{part fish oil in feed (\%)} \times \text{FCR}}{5}$$

$$\text{FIFO (fish meal)} = \frac{\text{part fish meal in feed (\%)} \times \text{FCR}}{22.5}$$

FIFO (total) = the value that is highest of FIFO (fish oil) and FIFO (fish meal).

**FINGERLINGS**

Common name for fish of different sizes that are actively placed in different types of water for different purposes. It may be fish that are grown for later release into natural fishing waters for sport fishing, or as compensation for lost fish in hydropower developed waters. This document refers to fish purchased for breeding.

**FSA**

Farm Sustainability Assessment (FSA), is a global reference standard for sustainable primary production managed by SAI (Sustainable Agriculture Initiative Platform).

**GROUP AFFILIATION**

Affiliation of a group of B/P's or a group of facilities within a company (legal entity).

**GWP**

Short for Global-Warming Potential is a measure that indicates the potential greenhouse effect of a gas in comparison with the same amount of carbon dioxide. GWP is often calculated over a 100-year perspective.

**HACCP**

Hazard Analysis Critical Control Points. A system that identifies, evaluates and controls hazards which are significant for food safety.

**INCISION TO THE THROAT**

Incision to the throat involves a cut in the throat and is used for bleeding, after stunning, during the slaughter of fish.

**INDIVIDUAL AFFILIATION**

Affiliation of a physical or a legal person under an organisation number.

**IP (INTEGRATED PRODUCTION)**

"IP is a farming system that produces high quality food and other products by using natural resources and regulating mechanisms to replace polluting inputs and to secure sustainable farming. Emphasis is placed on a holistic systems approach involving the entire farm as the basic unit, on the central role of agroecosystems, on balanced nutrient cycles, and on the welfare of all species in animal husbandry. The preservation and improvement of soil fertility and of a diversified environment are essential components. Biological, technical and chemical methods are balanced carefully taking into account the protection of the environment, profitability and social requirements." *IOBC/WPRS Bull 16(1) 1993*

**IUCN**

Abbreviation of International Union for Conservation of Nature. An international organization responsible for conserving species richness in plants and animals, including by providing a list of endangered species - the IUCN Red List of Threatened Species.

**LIFE CYCLE ASSESSMENT (LCA)**

A technique to evaluate the potential environmental impact of a product throughout its lifecycle, from the procurement of raw materials or natural resources to its eventual disposal after use. Comparable, for example, with the international ISO standard for LCA, ISO 14040.

**LIFE CYCLE COST**

The total cost of a product throughout its production, use and disposal of waste.

**LIFE CYCLE PERSPECTIVE**

Consideration is given to the potential environmental impacts of a product or service throughout its lifecycle.

**LONG-TERM FERTILIZER**

Fertilizers that are encapsulated in a porous casing which dissolves when temperature and soil moisture are correct. The plant nutrients are then evenly exudate for a long time period.

**MODULE**

Unit, part. In this case, a part of the IP standard. In this document the word "module" is used in three different contexts:

**Sector module** – part of the standard that compromise production rules for a certain activity with similar conditions regarding the areas food safety, animal welfare and environmental responsibility.

**Optional module** – part of the standard that compromise production rules for a certain section of rules with extra commitments regarding food safety, animal welfare and environmental responsibility. For example, rules regarding climate measures.

**Completing module** – part of the standard which is independent of other certification and which includes a specific regulatory area. It is possible for a B/P to be certified according to completing modules only. See appendix 1.

**NIS**

Macro-organisms, (such as nematodes (roundworms), insects or arachnids), which are used as biological pesticides.

Source: Kemi.se

**NUMBER OF THE PRODUCTION PLACE, NPP**

According to the definition stated by The Swedish Board of Agriculture, the number of the "production place" is connected to the place of production.

- The purpose with the number of the production place and the place of production is to be able to trace animals in case of outbreaks of infectious diseases.
- The number of the production place consist of the country code SE followed by six digits, issued by The Swedish Board of Agriculture.
- The number of the production place is connected to the plant or place where the operation is conducted. The basic principle is that a production place is a building where the animals are kept mainly indoors, or a plant if there are enough buildings nearby that forms one unit.
- If there are animals at pasture, it depends on the geographical configuration if more than one production number is needed. If the pastures are less than 500 meters from each other, the linear distance, and if there are no other ungulates that belongs to someone else between the places, the pastures are considered as one production place with one production number. If the distance is more than 500 meters or if there are other ungulates that belongs to someone else between the places, there must be different production numbers.

**OFFICIAL VETERINARY**

Veterinarian with special recommendation from the Swedish Board of Agriculture, and is a key person in the work of preventing the spread of infectious diseases

**OFFICIAL ASSISTANT**

Assists the official veterinarian in the control of infection control, food safety and animal welfare.

**PARALLEL PRODUCTION**

Parallel production means that not all production of the same product is included in the IP-certification. Regarding animal production, it means that there can be one animal species within the same company but where only some of those animals are certified.

**PCF**

Principal for Contract Farming. The PCF is a B/P, which is a food business carrying out primary production on contracted land and where production is destined for further processing. The land used for contract farming is leased land, therefore only those activities that occur on the contracted land, or as a result of the operations carried out on the contracted land, are subject to the IP standard.

**PERCUSSIVE MACHINE**

A machine used at slaughter to make fish unconscious before bleeding.

**PGC**

Principal for Group Certification. The PGC is a legal entity - a sales organisation, sell (supply) products through the PGC's organisation. The individual producers are not themselves certified, instead they are regarded as subcontractors of the PGC and thus cannot themselves sell their products as certified. All sales must be made through the PGC.

**PLANT**

Every section of a food producer operation, e.g.

- A plant is a place where the food producer conducts an activity, e.g. a dairy as well as a shop are referred to as a plant, however, a place for packing of vegetables or a market stand also are plants.
- A food company can include one or more plants.

Note that there are no restrictions for a company to handle or store food in their own facilities. Also, intermediaries as importers and others who only have an office where they control the food chain can be a food company or a plant. The headquarter of a food company can be a plant.

**PRECEDING CROP EFFECT**

The effects in the soil caused by previous crops, such as soil structure, available nutrients, etc.

**PRODUCTION PLACE**

According to the definition stated by The Swedish Board of Agriculture, "production place" refers to the place of livestock production. The production place must be connected to a number.

- The purpose with the production place and the production number is to be able to trace animals in case of outbreaks of infectious diseases.
- The production place is the place where the production is conducted. The basic principle is that a production place is a building where the animals are kept mainly indoors, or a plant if there are enough buildings nearby that forms one unit.

If there are animals on pasture, it depends on the geographical configuration if it is counted as one or more production places. If the pastures are less than 500 meters from each other, the linear distance, and if there are no other ungulates that belongs to someone else between the places, the pastures are considered as one production place. If the distance is more than 500 meters or if there are other ungulates that belongs to someone else between the places, the pastures are considered as different production places.

**PRODUCTION UNIT**

Production unit considers plant production.

A production unit comprises one or more buildings and/or land that is cultivated with a common centre, in this aspect a farm.

A production unit should be indicated by an address. If there is also a parallel production, a property designation shall be specified.

**PROOF**

A written proof stating that certain terms are fulfilled.

**PRIMARY PRODUCER**

Businesses that cultivate and harvest vegetables for food or feed production, conducting milk production, egg production or breeding animals for slaughter.

**QUEEN EXCLUDER**

A tool used in beekeeping and is placed between the brood chamber and the lower honey super in the hive. The queen excluder prevents the queen from laying eggs in frames for honey harvesting

**RAW MATERIAL**

Food raw material that is completely untreated or treated only by drying, blanching, freezing, washing or sorting. The starting material does not count as a raw material, e.g. seeds, soil and fungal mycelium.

**REARING TANK**

A unit where fish and crustaceans are kept during production. A company can have several rearing tanks.

**RED CONTROL POINTS**

Marked in red in the modules. These are requirements that are particularly important for food safety, animal welfare or the environment, and thus IP's core values. Non-compliance of a single point can lead to exclusion even if the discrepancy is corrected.

**REFINED PRODUCTS**

Foods that consist of more than one raw material.

**REGULAR CONTROL POINTS**

Not highlighted in the handbooks. Requirements that are important but not urgent for food safety, animal welfare, environment and working conditions. Non-compliance to occasional point shall not lead to exclusion, provided that the non-compliances are corrected within settled time.

**RENEWABLE ENERGY SOURCES**

Existing hydroelectric power, wind power, solar energy, biofuels and excess heat.

**SAI**

The Sustainable Agriculture Initiative Platform is a non-profit network of players in the food chain, which aims to promote sustainable agriculture. SAI operates and manages the FSA, Farm Sustainability Assessment.

**SEMI NATURAL PASTURES**

Semi natural pastures are grazing land that has not been in any way cultivated, fertilized artificially (or with manure other than from the grazing animals themselves) or irrigated. Semi natural



pastures can be meadows, heathlands, forest grazing, sea and lake shore meadows or any other grassland that has not been cultivated or fertilized in any way for at least 20 years. Machine trimming with flail mowers etc is allowed.

### SEWAGE SLUDGE

Sewage sludge is formed in wastewater treatment plants when wastewater is cleaned. It consists of organic matter, nutrients and almost anything else that washed down the drain.

### SIGILL-RAW MATERIALS

Raw materials produced according to the Sigill level or optional level of the IP- standard.

### SKAB

Sigill Kvalitetssystem AB.

### SOCK SAMPLE

In salmonella sampling in poultry houses, a so-called sock sample is used. This is done in such a way that a pair of sterile socks are worn on the outside of the boots and samples are collected by walking around the entire animal space. The socks used are then sent for analysis.

### STUNNING GUN

Tools used for mechanical anesthesia of animals before bleeding.

### SUSTAINABILITY

The term refers to Agenda 2030 and the Global Goals, which cover three dimensions of sustainability:

Social sustainability, basic human rights are fulfilled.

Ecological / environmental sustainability, the opportunities for natural ecosystems to provide communities and people with natural resources and ecosystem services are preserved.

Economic sustainability, it is possible for all people to meet their basic needs in relation to the earth's finite resources.

### SWOT

An analysis of challenges and opportunities for the company's profitability. SWOT comes from the English Strengths, Weaknesses, Opportunities,

### SYSTEM CHARGE

Annual fee paid to SKAB to subscribe to the IP Standard.

### THERMAL COMFORT

The animals experience thermal comfort when the climate is comfortable and the animals do not need extra heat production to keep warm and / or sweat / pant etc. to achieve cooling.

### TRANSPORT CONTAINER

Cage, box or other rigid structure used for the transport of animals, but which is not a means of transport.

### UNANNOUNCED AUDIT

The B/P that shall be audited is informed not earlier than 24 hours before the audit.

### VOCALIZATION

Sounds / sounds from animals, roaring etc.

### WATER PARAMETER

For the purposes of this document, the content of the water consists of chemical compounds, gases and ions.

### WETLAND

A small water or wetland with an area of no more than one hectare of agricultural land which constantly or during a large part of the year holds surface water or a moist soil surface such as marshes, gullies, wetlands, overflowing fields, marl pits, open ditches, ponds and no more than two meters wide natural streams. A complete definition can be found in Appendix 1 to the Regulation (1998: 1252) on area protection in accordance with the Environmental Code etc.

### WHOLESALE

Sale of products to companies, legal entities, organizations, craftsmen and authorities. But also wholesales with handling, sorting and classification of products in large batches, break-bulk-last, re- packaging, re-distribution into smaller batches for e.g. medications, storage, cooling and freezing, delivery and installation of products for own account.

### WORKFORCE

- Own employees
- Temporary workers including self-employed and entrepreneurs with a mandate of at least one week coherent.
- Family members who are employees of the company

### WORKPLACE

Restricted area where the companies, for their business, perform work.

### WORKING CONDITIONS

In this document "working conditions" applies for employment contracts, work permit, wages, working hours, vacation, labour insurance, requirements for employment agencies in and outside Sweden, accommodation for employees and systematic improvement of working conditions.



**WORKING CONDITIONS**  
(Completing module)



**PCF (Principal for Contract Farming) FOOD**



**PROCESSING**



**MILK PRODUCTION**



**PRIMARY PRODUCTION**

# DOCUMENTS

## GOVERNING DOCUMENT

IP consists of:

- IP General Regulations.
- Standard handbooks with technical rules for the certified operation.
- Documents in force are reported on "sigill.se/ P-standarden gällande dokument"

When documents are available in other languages, the Swedish version will rule.

## REFERENCE DOCUMENTS

IP also refers to the following documents:

- Commission Regulation (EC) No 1251/2008 of 12 December 2008 implementing Council Directive 2006/88/EC as regards conditions and certification requirements for the placing on the market and the import into the Community of aquaculture animals and products thereof and laying down a list of vector species (EUT L 337, 16.12.2008, pp. 41-75) (Annex II Part A Model animal health certificate for the placing on the market of aquaculture animals for farming, relaying, put and take fisheries, open ornamental facilities and restocking, Annex IV Part A Model animal health certificate for the import into the European Community of aquaculture animals for farming, relaying, put and take fisheries and open ornamental facilities).
- HACCP according to Codex Alimentarius
- ISO/IEC 17065:2012 Conformity assessment - Requirements of the bodies that certifies products, processes and services.
- ISO 19018:2011 Guidelines for auditing management systems
- Regulation (EC) No 1831/2003 of the European Parliament and the Council of 22 September 2003 on additives for use in animal nutrition (EUT L 268, 18.10.2003, pp. 29-43).
- Regulation (EU) 2016/2031 of the European Parliament of the Council of 26 October 2016 on protective measures against pests of plants, amending Regulations (EU) No 228/2013, (EU) No 652/2014 and (EU) No 1143/2014 of the European Parliament and of the Council and repealing Council Directives 69/464/EEC, 74/647/EEC, 93/85/EEC, 98/57/EC, 2000/29/EC, 2006/91/EC and 2007/33/EC (EUT L 317, 23.11.2016, pp. 4-104).
- SFS 2006:814 Förordning om foder och animaliska biprodukter.
- SJVFS 2013:23 Föreskrift om ändring i Statens jordbruksverks föreskrifter (SJVFS 2012:24) om anmälningspliktiga djursjukdomar och smittämnen
- SJVFS 2018:33 Statens jordbruksverks föreskrifter och allmänna råd om foder
- SJVFS 2019:7 Statens jordbruksverks föreskrifter och all-

mätta råd om transport av levande djur

- SJVFS 2019:18 Statens jordbruksverks föreskrifter och allmänna råd om nötkreaturshållning inom lantbruket m.m.
- SJVFS 2019:23 Statens jordbruksverks föreskrifter och allmänna råd om fjäderfåhållning inom lantbruket m.m.
- SJVFS 2019:32 Statens jordbruksverks föreskrift om läkemedel och läkemedelsanvändning
- SKAB's contracts with approved certification bodies.

## DOCUMENT MANAGEMENT AND DOCUMENT NAME

Governing documents for IP shall include the following information:

- The year and date when the document comes into force.
- Version Number: finalised and released versions are numbered sequentially.

# INTRODUCTION

Sigill Kvalitetssystem AB (SKAB) operates and develops the IP standard. SKAB is a subsidiary of the Federation of Swedish Farmers (LRF).

## AIM

IP is a standard for quality assurance in the production of food and ornamental plants. It covers the entire chain from primary production to processing in the following areas:

- Food safety
- Animal welfare
- Environmental responsibility
- Working conditions

IP acts as a link between responsible producers and ensures consumers that the quality created in the primary production is maintained throughout the chain including food processing.

## CREDIBILITY

To make the standard a success requires trust amongst all of the interested parties. The basis for this is a clear, transparent set of regulations that are applied in a consistent manner. IP consists of the affiliation requirements, certification requirements and production standards. The standard is developed and administered in a process in which representatives of primary production centres and food companies are included, together with experts, researchers and the authorities, see Appendix 2. This, together with independent verification for certification, results in a consistent assessment of B/P's, which provides a basis for credible information regarding the production.

## VOLUNTARY

The IP Standard is open to all companies and affiliation to the system is voluntary. IP's standards contain no requirement for the CB to report violations to authorities. However, the certification status of affiliated B/P's is published on SKAB's website. Affiliated B/P's standards and verification requirements are available at [www.sigill.se](http://www.sigill.se)

## THE IP STANDARD'S VALUES

### IP - INTEGRATED PRODUCTION

IP stands for Integrated Production. Integrated production is a whole farm managing system which aims to deliver more sustainable agriculture, see the glossary.

## PRINCIPLES

The IP standard contributes to a sustainable, (see definition in the glossary), society by offering support for sustainable development in the production of food and ornamental plants. Because consumers and society have a high level of confidence in the IP standard, certification leads to increased competitiveness and thus good conditions for long-term profitability.

Sustainable development is, according to the Report of the World Commission on Environment and Development: Our Common Future (1987), (the Brundtland report) "a development that meets the needs of today without jeopardizing the ability of future generations to meet their needs". In this context, it means a production of food and flowers that is resource efficient. That is, inputs such as manure, fuel, soil and feed are used with the greatest possible yield, while production generates economically sustainable companies with as little waste and as few negative environmental effects as possible. In the first instance, preventive measures are taken to ensure good plant and animal health so that unnecessary use of plant protection products and medicines can be avoided, and so that the risk of contamination of the environment and products is minimized. Such production takes place with methods based on science and proven experience, and it contributes to achieving all the global development goals in Agenda 2030 that are relevant for the production of food and ornamental plants.

We can achieve a production that is sustainable by taking a holistic approach to the issue of sustainability in an open dialogue between the stakeholders of the IP standard. Many different aspects of sustainability are weighed and adjusted against each other so that the development of the IP standard is constantly moving towards increased sustainability. Certification is proof that agreed performance is met in production.

**FOOD SAFETY AND TRACEABILITY**

Raw materials and food produced according to the IP standard must be safe. Consumers should be able to trust certified products and feel safe. Safe food is based on HACCP principles with requirements for good routines, documentation, control and follow-up. It must be possible to trace food and ornamental plants through the distribution chain, from raw material to finished product, but also in the opposite direction.

**ANIMAL CARE**

Animals must feel good and be able to perform their natural behaviors by adapting the animal environment to the animals and by meeting their basic physiological and behavioral needs. Animals must be respected as sentient beings and the caretaker must take into account the needs and conditions of the individual animal. Good animal welfare, preventive animal health care and good infection control reduce the risk of sick animals and the need for antibiotic treatment. This also reduces the risk of antibiotic resistance. Animal care where animal welfare and healthy animals are at the center is good for the animals, the environment, food safety and the people.

**ENVIRONMENTAL RESPONSIBILITY**

The IP standard contributes to the development of a production that preserves the ecosystems' ability to provide humans and

society with natural resources and ecosystem services. Located and natural resources must be utilized in an efficient manner that takes into account the surrounding environment. This leads to less climate impact and reduces the use of land and inputs per unit produced. The precautionary principle is applied and preventive measures are taken to reduce the risk of leakage of plant protection products, medicines, plant nutrients to the surrounding environment. A cycle of nutrients between city and country is desirable but must not risk food safety or conditions for sustainable production.

**WORKING CONDITIONS**

The IP standard must contribute to the responsible use of human resources where human rights and employee rights are respected.

**CONTINUOUS IMPROVEMENT**

The levels of the IP standard with increasing degree of ambition offer the opportunity for gradual improvement for individual companies. At the same time, there is a constant improvement of the IP standard as a whole by continuously reviewing the production rules to become clearer and more efficient, and by developing it with new rule areas when it is in line with the overall purpose; Sustainable Development.

# 0 SCOPE

## IP's SCOPE AND LEVEL OF REQUIREMENTS

Within IP there are two levels of standards for production techniques, Base level and Sigill level, where the Sigill level is based on the Base level. .

This means that the Basic level must be met for certification according to the Sigill level. In addition, it is possible to add specific Optional modules for either the Basic level or the Sigill level

Certification according to the Completing module for working conditions is possible independently of other certification IP General Regulations apply to all levels.

### BASE LEVEL

- Contains requirements based on the Swedish legalisation and industry guidelines in the areas of food safety and animal welfare.
- Raw products/products that have been produced according to the production rules in the Base level are assigned as "Base level certification of primary products/products".

### SIGILL LEVEL

- It's requires the Base level
- Contains requirements based on the Swedish legislation in the areas of food safety, animal welfare and the environment as well as requirements that goes beyond the legislation.
- Raw product/products that have been produced according to the production rules at Sigill level are assigned "Sigill-raw materials/products".

### OPTIONAL MODULE

There are a number of Optional modules with more far-reaching commitments in the areas of food safety, animal care and environmental responsibility. The optional modules for the Basic level require basic certification, The optional modules for the Sigill level require Sigill certification

### COMPLETING MODULE

Certification according to a Completion module is possible independently of other certification. The completing module for working conditions includes labor law, hired labor, housing and systematic work environment work. The requirements are based on Swedish legislation and agreements between the social partners, but go further on several points.

# 1 INDIVIDUAL AFFILIATION FOR CERTIFICATION

There are two alternatives for affiliation to the certification system: affiliation of a single company and affiliation of a group (for affiliation of a group see chapter 2.)

Application for affiliation to IP is done for each B/P, directly to the CB. Certificates are issued for the product sectors indicated in the company's application following an approved audit of the business. After completing the audit, the B/P is affiliated until withdrawal is requested or expulsion occurs. All requirements for the CB and the B/P in this chapter also applies to the PGC, except where exceptions are specified.

## 1.1 AFFILIATION TERMS & CONDITIONS

### 1.1.1 BASIC CONDITIONS FOR AFFILIATION TO IP

#### APPLICATION AND AFFILIATION

1. Application and affiliation for certification shall follow the checklist outlined in Appendix 3, if nothing else is agreed with SKAB.
2. Affiliation can occur at any time of the year provided the requirements under section 1.2.1 are met.
3. Dairy farms are allowed to supply 3 months before they are approved provided that they undergo a pre-audit in which all relevant critical points are met and where the assessment is that the company will be able to fulfil the requirements of the standard within 3 months.

#### CONDITIONS FOR AFFILIATION TO IP

1. B/P's production/raw products/products and services must follow current legislation.
2. Where applicable, the B/P must be able to prove that the company is registered in relevant official registers.
3. Land where waste sludge has been spread cannot be included in certified production of fodder and food until after 5 years.
4. For the initial audit of plant production, documentation according to the requirements of the standards shall be presented for the entire production cycle of the crop, or the last three months. See 1.2.1.
5. For the initial audit of livestock production, documentation according to the requirements in the standards must be presented for the last 3 months, see 1.2.1
6. For the initial audit of B/P's that are not primary producers, documentation according to the requirements in the standards must be presented for the last month.
7. Applications must be signed by an authorised person and include all the information required by SKAB, see Appendix 3.
8. The B/P shall be aware of the terms associated with affiliation to the certification system and the production rules to which the application relates. This should be confirmed by a signature.

9. A special investigation shall be conducted if the applying B/P has, in the last five years, been subjected to sanctions or injunctions against the business to be certified. This refers to sanctions from both within the certification and from the authorities. The scrutiny shall cover those parts of IP's core values relevant to the certification in question. SKAB have an obligation to inform CO if the B/P has had sanctions within the IP standard during the past 5 years. In cases of group certification, the scrutiny of individual producers shall be done by the group head representative.
10. An excluded business that changes ownership cannot be affiliated again during the exclusion period if there remains substantial participation from the previous owner.
11. The business must have been approved by audit before affiliation and issue of certificates. For the certificate to be valid, the yearly fee must be paid to SKAB in time.
12. If the B/P applies for reinstatement after the exclusion period, the B/P must account for how they have ensured that any raw materials/products have not been sold with reference to IP during the period of exclusion.

#### OBLIGATIONS DURING THE TIME OF AFFILIATION

1. The B/P's production / raw materials / products and services must comply with applicable legislation.
2. If the business is subject to a permit or registration obligation, a copy of the permit / notification must be able to be presented at audit.
3. The B/P is responsible for the production resources used in the certified business. This means that all land, buildings, premises, machinery, etc., used in the certified business must meet the standards even if they are not owned by the B/P.
4. The B/P is responsible for informing subcontractors (such as machine pools, cleaning companies, contractors and temporary work agency) of the IP requirements and to ensure that they comply with the standards if they perform work significant to the certified operations. There can be an audit performed of the subcontractors if the auditor finds it relevant.
5. The B/P must always follow the production rules that are applicable for the certified operation and the regulations within IP General Regulations. In certification covering

crop production, that means that production rules shall be followed in all the land included in the crop rotation even in case of tenancy or contract cultivation. Exceptions can be applied in certain cases, for companies certified according to the Base level, see 1.1.4 and 1.2.5.

6. The B/P has a duty to remain informed of any news/changes that SKAB announces either via the release of new versions of production standards, by A/C or through accredited CB's that conduct certifications under IP. The latest information on current standards can also be found on the website [www.sigill.se](http://www.sigill.se).
7. The B/P is obliged to participate in, and facilitate audits, in accordance with 1.2, including random audits and unannounced audits.
8. The B/P is obligated to accept presence of authorities, that controls the work of the CO.
9. The B/P must accept that the CO provide information about the B/P to another CO in case of change of CO.
10. The B/P agrees that the CB may annually report data of affiliated B/P's to SKAB. The data is used to define the scope of certification and for statistical reporting. Data used for statistical accounting will be anonymised.
11. The B/P must accept that information regarding the company is published at [www.sigill.se](http://www.sigill.se) during the period when the company is certified as well as 6 months after the certification is discontinued.
12. The B/P is obligated to inform the CO regarding planned changes that affects the certified operation. This applies to e.g. changes of owner, expansion, new land, new production, changes of the level of certification, adding of parallel production and proof from the responsible authority to deviate from a few requirements in the regulation that involves any of the control points in the standard.
13. Changes in the certified operation must be registered in adequate registers of authorities.
14. The B/P is obligated to inform the CO if the company has been needed to withdraw a product.
15. The B/P is responsible to provide information regarding the production according to requirements from SKAB.
16. The B/P permits that the CO provide SKAB all the information regarding the company that is relevant for the certification and the trust of the IP standard.



### PCF (Principal for Contract Farming)

1. The PCF should have written contracts with each contract grower for the current growing season. The contracts shall include:
  - Name or company name.
  - Organisation number.
  - Contact address.
  - Contact person.
  - The contract farming location with directions and maps of the land.
  - Information on which crop the contract relates to and the contracted acreage.
  - Information regarding which IP standards that are to be followed with the contract farming.
2. The PCF shall keep a register containing details of all contract growers. The register shall include the following details:
  - Name or company name.
  - Organisation number.
  - Contact address.
  - Contact person.
  - The contract farming site and a list of the agricultural parcels that are included
  - Information regarding to which crop the contract relates and the contracted acreage.
  - Information regarding checks conducted and their results.
  - Information regarding checks conducted and their results.
3. The register must be archived for 5 years.
4. The PCF shall have procedures to ensure that IP standards are followed in contract farming
  - The PCF shall have a management system for the contract farming.
  - The management system shall be documented and regularly revised to ensure that it complies with the current standards and the terms in IP.
  - The management system shall contain procedures for defining the production standards in IP to be complied with by contract growers and which standards are covered by the PCF's management of production.
  - The contract grower must comply with the IP standards that concern the contracted parcels and the activities that the contract grower performs on behalf of the PCF.
  - There shall be an individual responsible for IP at the PCF, who ensures that the conditions and standards in accordance with IP are met.
  - The PCF shall appoint one or more internal auditors who are responsible for the internal audit of the management system.
  - The PCF shall designate an auditor(s) that are conducting audits among the contract growers. These persons must have competence according to 3.2.
  - The PCF must perform an annual administrative audit of a sample of contract growers in the current year, see below.
  - The PCF must perform annual audits on a sample of active contract growers in the current year, see below.
  - The annual selection of the audits shall be done so that at least all new contract growers and contract growers who have not had contracts within the last five years receive an audit.
  - In order to reach the correct number of audits the selection of remaining audits, shall be done based on results from previous controls and administrative audits.
5. Audits of contract growers will take place during the growing season, as follows:
  - PCF with 1-3 contract growers: One grower checked
  - PCF with 4-6 contract growers: Two growers checked



- PCF with 7 or more contract growers:  
2X (√ number of contract growers) checked
- 6. The B/P has a duty to remain informed of any news/changes that SKAB announces either via the release of new versions of production standards, by A/C or through accredited CB's that conduct certifications under IP. The latest information on current standards can also be found on the website [www.sigill.se](http://www.sigill.se)
- 7. Contract growers are subcontractors to the PCF. They cannot refer to the PCF's certification and sell their own products as certified when they are acting individually under their own business. This would require the producer to have their own individual certification.

### 1.1.2 FEE

- An annual membership fee shall be paid to SKAB. The first fee will be invoiced after the application has been processed by the CB and passed on to SKAB or A/C.
- PCF is counted as a certified company and the fee is based upon the extent of operation.
- For group affiliation, the PGC is billed by SKAB. The fee is based on subcontractors within the group.
- If a yearly fee is not paid even though a reminder, the CB shall withdraw the certificate at the request of SKAB or A/C.
- For group affiliation, the PGC decides the applicable charges for registration within the group.

### 1.1.3 PARALLELL PRODUCTION

Parallel production occurs when not all production of the same product is covered by the current IP certification. For animal production it means that there are *the same animal species* within the same company but where only some of the animals are certified according to the IP Standard.



#### PRIMARY PRODUCTION

##### CROP PRODUCTION

Parallel cultivation is permitted under the condition that the requirements of segregation is fulfilled.

##### LIVESTOCK PRODUCTION

##### Sigill level

Parallel production is **not** permitted in a company with livestock production certified according to IP Sigill.

##### Exception:

1. For a recently added separate production site, parallel productions is permitted during a transition time of three years.
2. Certification of lamb production. Lambs that do not meet the requirement for grazing may be kept in the herd provided that the entire activity otherwise meets the requirements in IP Sigill Lamb. Only those animals that meet all the requirements in IP Sigill Lamb may be sold as Sigill certified.
3. Certification of milk production comprises dairy cows, calves (up to 6 months) and recruitment animals to the own milk company. Other cattle at the production place, that originates from the certified dairy cows is not considered as a parallel production.
4. Part of a herd may be certified according to the optional module "Range beef" under the following conditions:

- All animal of the current animal breed, on the farm shall be certified according to at least the Sigill level.
- There shall be updated information on the animals included in the certification according to the optional module "Range beef".
- Semi natural pasture used for the animals included in the certification according to the optional "Range beef" shall be marked on a map, which is updated annually.
- Diets for all categories of the current animal breed at the company, must be documented. The documentation shall be kept for 5 years.
- When are sold, the animals must be accompanied by documentation so that the current certification is recognized.
- An on-site audit the semi natural pasture shall be inspected. The number of sold animals certified according to the optional module "Range beef" in relation to semi natural pastureland and seasonal grazing quality shall be evaluated. Documentation of ratio, grazing and number of sold animals certified according to the optional range beef shall be evaluated for the last 24 months.
- The administrative audit (conducted in the year when there is on-site audit) shall include an evaluation of the number of animals certified according to the optional range beef sold to slaughter present year compared to last year. If the assessment leads to suspicions of fraud, an extra audit shall be carried out. An example of an indicator of fraud is if the company sells more than one certified to IP Sigill Cattle & Milk option "Naturbetes-skött" per ha semi natural grassland, or more than 12 lambs certified according to IP Sigill Lamb with optional "Naturbetes-skött" per hectare of natural grazing land.

#### Base level certification

Parallel production is allowed under conditions that the requirements of segregation and disease control are fulfilled.

#### FOOD PROCESSING

- Certification of food processing/handling includes all production and all products within a facility, including handling of live animals, if present at the facility. Exceptions can be made for direct selling to an end consumer (e.g. café/shops) as a part of an operation within a plant, if handling and documentation is clearly separated from the certified operation and that there are no risks for the food safety within the certified operation.
- If the business has several plants, the production at some sites may be certified, while others remain non-certified.

#### Completing modules

##### WORKING CONDITIONS

- Certification of working conditions is possible if there are employees or temporary workers.
- Certification shall include the workforce working in the company (corporation).





**1.1.4 TIME LIMITED EXCEPTION FROM PRODUCTION RULES AT THE BASE LEVEL PROMPTED BY AN AUTHORITY DECISION**

If the responsible authority has issued a time limited exception from a few rules in the legislation that concerns control points within the Base level, the certified B/P that intends to conduct the production according to the exception must send an application to SKAB. In the application, the control points in question must be clearly stated. Further the background to the decision of the authority must be stated. The background to decision of the authority shall be attached to the application to SKAB. The animal ethical committee is not an authority. The exception can only involve what is regulated in the Swedish legislation.

The B/P that intends to conduct the production according to the exception, must report this to CB and CB shall report this to SKAB. The production with the exception cannot start until a confirmation of the application and an opinion from the standard counsel has been received by the B/P.

During the period when the exception is applied, the CB must, at the audit, assess the current control points according to the decision and instructions made by the responsible authority. If the authority has not announced specific instructions, current checkpoints shall be excluded from the audit. A certificate that is valid during the time of the exception, shall be issued by the CB. At the certificate, the control points that are excluded, as well as the reason for this, shall be stated.

When the permission for the exception is not valid anymore, the CB must make sure that the requirements in question are again fulfilled and a new certificate shall be issued.

**1.2 AUDIT**

The IP standard’s audit model comprises 6 types of audits, see Figure 1.

<b>1.2 AUDIT</b>
<b>1.2.1 ON-SITE AUDIT</b>
1.2.1.1 INITIAL AUDIT
1.2.1.2 SUBSEQUENT AUDITS
GENERAL
SAMPLE AUDIT
EXTRA AUDITS
<b>1.2.3 SELF-ASSESSMENT BY THE B/P</b>
<b>1.2.4 ADMINISTRATIVE AUDIT</b>

**1.2.1 ON-SITE AUDIT**

In order to achieve certification, affiliated businesses must be audited by an independent CB. Thereafter, subsequent audits will be carried out as described below. Following approval, the CB can issue a certificate.

- The audit shall be announced, except where cases of suspected violation have come to the CB’s attention
- An unannounced audit means that the B/P shall be contacted at the earliest 24 hours before an on-site

audit. Its purpose shall determine how far in advance of the audit notification is given, within those 24 hours.

- The audit shall cover the current regulations and include:
  - an interview with the individual responsible for IP
  - interviews with workforce
  - where appropriate, interviews with contracted growers
  - inspection of facilities, equipment, farming and animals
  - control of documentation.

**1.2.1.1 INITIAL AUDIT**

GENERAL

- The audit shall cover all control points in the handbook including all sub-requirements
- If more than one visit is required to control all relevant control points, a certificate with remarks shall be issued after the first visit. It must be clearly stated in the certificate, when the rules must be fulfilled in order that the certificate will be valid. If the rules are not fulfilled in time, the certificate shall be withdrawn.

PRIMARY PRODUCTION

All checklist points relevant to the registered production shall be assessed. This means that:

- all production units and production places, including buildings, that are included in the certified operation must be controlled. If the company conducts parallel production the production units and production places that are not included in the certification, can be controlled to ensure complete separation.
- at least one registered crop/culture within each module shall be checked at harvest
- all groups of animals kept both indoors and outdoors, within the reported livestock, shall be checked.
- for audits of livestock production that have a requirement for grazing, livestock checks shall be carried out both during the grazing period and the stall period.

Documentation for all crops/cultures to be certified must be available from the time of sowing/planting, even if the application was made after the production started.

For animal husbandry, the producer must verify that the IP requirements have been fulfilled for purchasing stock under its required qualifying period, by showing records for animal care, feed, etc. for at least 3 months.

Additional requirements for PCF

- The PCF’s procedures for controlling, quality assurance, documentation and food safety within contract farming shall be audited.
- For an on-site audit the CB shall assess that the relevant parts of the IP standards are covered and that the PCF and contracted growers comply with the requirements.
- Subsequent random sample audits of contract growers shall take place during the growing season  
 the number of audits=  $\sqrt{\text{the total number of contract growers}}$



Contract growers which have been audited by the PCF during the current or previous season will be subject to random sample audits. Some random sample audits can be performed as 'supervised audits' to ensure that the same grower does not get two audits in the same season. The purpose of the subsequent random sample audits is to review the PCF's system for auditing contract growers. The CB can decide how the audit is organised. The results of the PCF's audits shall be compared and evaluated against the CB's audit results.

NUMBER OF DRIVERS	DRIVERS TO BE INTERVIEWED	TRANSPORT VEHICLE(S) TO BE ASSESSED	LOADING(S) AND UNLOADING(S) TO BE
1-3	1	1	1
4-6	2	2	2
7 or more	√ number of drivers *	√ number of drivers *	√ number of drivers *

**Table1.** Control of transport vehicles.

\*In case of uneven number, round off to nearest whole number

The IP standard’s audit model comprises 6 types of audits, see Figure 1.



**FOOD PROCESSING**

- All plants that are included in the certified operation must be controlled. If it is required, in order to ensure segregation, also plants that are not included in the certification shall be controlled.
- Documentation for at least one month must be presented.
- The documentation must cover all products/production lines on all facilities that the certification covers, including handling of live animals, where applicable.
- At least one production line on all facilities, that are covered, shall be running during the audit.
- Slaughterhouses must be inspected during slaughter. Animal species should, if possible, switch between the audit sessions.
- Inspection of slaughter transport vehicles included in the certification, loading and unloading shall take place as below, see Table 1.
- Companies with 1–3 drivers: A driver and a transport vehicle as well as a loading or unloading are checked at each audit occasion.
- Companies with 4-6 drivers: Two drivers and two transport vehicles as well as two loading or unloading are checked at each audit occasion.
- Companies with 7 or more drivers: √ The number of employees determines how many transport vehicles and loading or unloading are to be checked at each audit occasion.
- Different drivers and transport vehicles must, if possible, be selected at each audit occasion.



**WORKING CONDITIONS**

- Audits of working conditions shall be made at all work places used by the legal entity.
- Audit of working conditions shall be made when there are workers on site.
- If necessary, service providers can be audited.

Documentation according to the requirements must be available at the time of the audit. For companies with IP-certified crop production, the documentation required shall cover the date of sowing / planting, or at the latest from the date when the work force commenced

**1.2.1.2 SUBSEQUENT AUDITS:**

**GENERAL**

- An audit period is 24 months. The time for subsequent

audit depends on the date of the initial audit. Normally subsequent audits shall be conducted earliest 18 and not more than 24 months after the initial audit and be planned in a way that the requirement of audits during different periods of the year is fulfilled.

- The CB must take initiative to subsequent audits in good time before the certificate expires.
- For the PCF, the audit period is 12 months, see contract growers.
- A follow-up audit due to suspension can be limited to the cause(s) of the suspension.
- In case of non-compliance leading to exclusion (see paragraph 1.3 Non-compliance and penalties) a full initial audit should be conducted, and the producer needs to be approved before the producer can re-affiliate to the system.

**PRIMARY PRODUCTION**

- All production units and production sites, including buildings, that are part of the certified operation must be inspected. If required to ensure segregation, production units and production sites that are not part of the certified business can also be inspected.
- All animal groups in all spaces and outdoors within the notified animal husbandry must be checked.
- The planning of crop production audits shall result in an inspection of the crop during cultivation and an inspection of the storage of the crop at every second audit, if storage is applicable. Otherwise, the audit shall be performed during the crop cultivation.
- Audits of crop production and livestock production should be coordinated as far as is possible.
- CB shall assess those certified productions with grazing, so that during an audit period at least 40% of all affiliated B/P’s within each module will get a visit during the grazing period. i.e. at least 20% of all affiliated milk producers, 20% of all beef producers, etc.

**CONTRACT FARMING**

- The certificate is valid for 12 months.
- Subsequent audits are conducted in the same way as the initial audit.

**FOOD PROCESSING**

- Subsequent audits shall be conducted every year during the first three years of affiliation.
- The audit shall be conducted in the same way as the initial audit.

**WORKING CONDITIONS**

- Audits shall be carried out in the same way as at the first audit, see item initial audit.



- Audit of working conditions shall if possible be coordinated with the audit of the other modules in the IP standard.

#### SAMPLE AUDIT

- In addition to regular audits, 10% of the affiliated B/Ps that have had a regular audit the previous year, shall be subjects for random sample audits. Sample audits of working conditions shall be coordinated with audit of other modules if it is applicable.
- If the number of B/P's within a module is lower than 20, the B/P's certified according to that module, shall be merged with the module that is closest in number of affiliated companies. The extent of the random sampling is then counted as the sum of these two modules.
- The purpose of the sample audits is to provide an incentive to enforce compliance in those years in which a regular audit is not scheduled. The sample selection can be guided based upon the results of the previous years' audits and based upon the administrative audit, see 1.2.4.
- The CB shall divide the sample audits according to a risk evaluation and random.
- Sample audits shall be carried out in the same manner as an ordinary audit.
- Even if the sample audit is approved, the next annual audit shall be conducted in accordance with the auditing program.



#### PCF

The PCF has an annual on-site audit and is therefore not subjected to sample audits.

#### EXTRA AUDITS

Extra audits can be notified or unannounced. Extra audits may cover all or part of the standard.

Extra audit shall be carried out

- within 12 months from the date of regular audit when B/P has more than 10 deviations during audit (regular audit, extra audit and sample audit)
- within 12 months from the date of audit when B/P has had a recurring deviation on another item 3 audits in a row, (regular audit, extra audit and random audit)
- when CO investigates suspicions of violations in accordance with 3.1.8.

The CB can in addition decide that the company must undergo an extra audit in addition to the scheduled audit program when the CB has reason to suspect that the B/P does not comply with the requirements for certification under 1.1 and 1.3.1.

- the B/P do not provide corrective actions within the agreed timeline.

#### 1.2.2 GUIDELINES FOR TIMESCALES OF AUDITS

As a guideline, an audit shall take between two and six hours on the premises of the B/P depending on the activity, and if the certification concerns one or more modules. The initial audit can take considerably longer time compared to subsequent audits. The length of an audit shall be motivated.

#### 1.2.3 SELF-ASSESSMENT BY THE B/P

The B/P must annually perform a self-assessment against current edition and version of the IP-standard, to ensure that the latest

edition and version of the production rules is fulfilled, including any change of rules. Deviations and shortcomings must be noted in an action plan. Actions against shortcomings and deviations must be conducted as soon as possible and shall be controlled at the next audit. During the year when there is no audit at the production, an action plan must be sent into the CB for an administrative audit. If the documentation for administrative audit after one reminder, is not sent in, it shall lead to exclusion until the self-assessment is sent in, controlled and accepted.

#### 1.2.4 ADMINISTRATIVE AUDIT AND DECISION ON CONTINUED CERTIFICATION

In the years when the regular audit is not performed, CB shall carry out an administrative audit and decide on continued certification. B/P must send documentation for administrative audit to CB according to one of these alternatives:

1. A fully completed checklist that covers all regulatory requirements in the modules covered by the certification.
2. The action plan according to 1.2.3 together with documentation specified under individual rule points in each module.

#### GENERAL

- The CB shall inform the B/P regarding the date when documentation for the administrative audit should be submitted
- The documentation for the administrative audit shall be checked. If the production rules have been changed or if other conditions for the certification have been change, the CB shall decide about continuing the certification according to current certificate, updating of information or if an extra audit is required. The decision shall be documented and contain information according to appendix 6.
- The documentation for the administrative audit shall also be used as a basis for planning of the future on-site audit and a basis to guide which companies that are selected for a sample audit.
- The CB must inform the B/P about the decision within 2 months from the date when the documentation for the administrative audit must be handed in.

#### PRIMARY PRODUCTION

- Documentation for administrative audits must be sent to CB for administrative audits prior to entry audits and the year in which B/P will not have a regular audit. CB can decide to carry out an administrative audit every year. Documents for administrative audits must be submitted no later than 31 March, unless otherwise stated.
- An administrative audit shall be performed May 31st if nothing else is informed from SKAB.

#### FOOD PROCESSING AND B/P CERTIFIED ONLY ACCORDING TO IP WORKING CONDITIONS

- Documentation for administrative auditing must be sent to CB for administrative auditing by agreement with CB, in the year in which B/P will not have a regular audit.

PCF has an external audit annually and is not covered by an administrative audit. In turn the PCF conducts an audit of current contract growers annually.



### 1.2.5 APPROVED AUDIT

The audit remains open for a maximum of 28 days (three months from the initial audit) for the management of the non-compliance. The CB can extend the deadline on reasonable terms for correction of non-compliances, e.g. regarding holidays. Reasons for extension of the deadline must be documented in the audit report. An approved audit requires that all relevant points are fulfilled. Companies certified according to the Base level, that have been granted an exception from the deadline for single requirements in the legislation, must fulfil all control points in the standard except those that involves the dispensation stated by the authority. Thus, the company can be certified provided that all other requirements are fulfilled.

### 1.2.6 AUDIT RESULTS

#### AUDIT RECORD

- An audit record shall be handed to the B/P after the on-site audit. The record shall contain information according to Appendix 5 and shall be proved by both the auditor and the responsible person at the company.
- In case of non-compliances, it shall be clear which verification requirements that are not fulfilled, and that corrective measures are required, for the audit can be approved.

#### CERTIFICATION DECISION

- Certification decision (for PGC, audit decision) shall be given to the B/P when the audit is closed and shall include the information outlined in Appendix 6. It shall be reviewed and signed by the Lead Auditor.
- If the audit is approved or not, at the initial audit, must be communicated to the producer, not later than 14 days after the deadline of 3 months.
- At subsequent audits, the result of the audit must be reported to the producer, not later than 28 days after the 28-day response period, and within the validity of the certificate.
- The CB shall immediately report the result of the audit of new producers, to SKAB.
- If an audit is not approved following the 28-day response period, or if the revealed non-compliances lead to a direct suspension, the CB is obliged to inform its decision regarding sanctions to SKAB immediately. See 1.3 Non-compliance and sanctions.

### 1.2.7 POWER OF THE CB DURING THE TRAINING PERIOD

CB's that are not accredited can, in agreement with SKAB during the training period issue an attestation to B/P that proves that the B/P is deemed to comply with the requirements for certification. The CB shall also, during the training period, comply with the regulations in chapter 1 and 3. The attestation is valid for up to 12 months and it must be clarified on the attestation that the CB does not have accreditation for IP. If accreditation is not obtained within 12 months, the attest must be withdrawn, and the B/P shall be informed that they are free to contact another CB. In such case, the CB can apply for a new agreement with SKAB and renew the application for accreditation.

When the CB has received accreditation, the audit must, without delay, be opened and the CB shall decide if a decision regarding

certification can be made according to 1.2.6 in a way that the attestation can be switched to a certificate.

The evaluation shall be done according to following:

- If the CB achieves accreditation within 2 months, the documentation from the audit of the company must be reviewed according to 1.1.1.
- If the CB achieves accreditation within 6 months, the documentation from the audit that has been performed during the training period must be reviewed.
- If the CB achieves accreditation after 6 months, the documentation from the audit that has been performed during the training period must be reviewed and the CB must, via a visit at the company, ensure that the results are still valid. If the CB, after evaluation according to above, decides that the certificate cannot be issued, the attestation must be withdrawn, and a complete audit must be performed according to 1.2.1.

## 1.3 NON-COMPLIANCES AND SANCTIONS

The purpose of non-compliance(s) and sanctions is to ensure that the rules of IP are followed by certified B/P's and that the annual fee to SKAB is paid.

### 1.3.1 NON-COMPLIANCE

Non-compliance means that an IP requirement has not been fulfilled. This shall be recorded for any applicable requirement that is assessed during an audit. The B/P has a grace period of 28-days to rectify any non-compliances before the audit is closed (3 months following initial audit).

#### NON-COMPLIANCE OF RED POINTS

- Corrective actions for red control points shall be verified in a follow-up audit or by providing additional documentation. The level of verification required is decided by the auditor in charge, together with the Lead Auditor.
- In exceptional cases the lead Auditor can decide to close an audit with non-compliances still not resolved after the period of 28 days, if there are circumstances that the producer cannot influence. This can only be done if there is an approved action plan setting out a fixed timeframe for the corrections to be made.
- Sanctions shall be imposed if a subsequent audit reveals that remedial actions have not been done according to the action plan.
- The initial audit cannot be closed if there are remaining non-compliances on red points.

#### NON-COMPLIANCE OF REGULAR CONTROL POINTS (OTHER THAN RECOMMENDATIONS)

- Corrective actions for regular control points can be verified by means of additional documentation.
- In exceptional cases the Lead Auditor can decide to close the audit with non-compliances still not resolved after the period of 28 days. This can only be done if there is an approved action plan setting out a fixed time frame for the corrections to be made. The corrective

actions shall be verified, at the latest, during the next scheduled audit.

- If the subsequent audit shows that the planned measures have not been implemented, the B/P shall be suspended until the corrections are completed.
- Action plans can only be created for a maximum of 10% of the total number of control points in the current module (red control points excluded).

### 1.3.2 SANCTIONS

If a B/P fails to fulfil the requirements for an approved audit (i.e. max 28 days after on-site audit or extra audit), the CB shall decide upon sanctions when the audit is closed. The sanctions that can be imposed within the IP system are suspension and exclusion. The CB is obliged to give immediate notice to SKAB in matters concerning sanctions.

The CB is also obliged to impose sanctions without previous audit if CB can demonstrate that audit was not necessary for the decision.

Sanctions can be imposed upon the whole business or separate products/processes.

Example of cases in which sanctions may be issued for parts of the operation:

- If the producer holds a certificate that covers different modules and the reasons for sanction is limited to a specific module, suspension can be limited to the module where the cause for sanction occurred.

### SUSPENSION

Suspension is a temporary prohibited of the certificate, during which time the producer is prevented from using the IP certificate to refer to the products that are under suspension. Suspension shall be imposed for a limited time period which is decided by the CB. The sanction can only be lifted by the CB when there is evidence of corrective action and must not last longer than 12 months.

Examples of occasions when suspension shall be applied:

- If there are any remaining non-compliances at the end of the audit, B/P shall be suspended until the deviations have been corrected.
- During investigating in accordance with the third paragraph of Article 3.1.8, in order to assess whether B/P's operations no longer meet the requirements for certification, if CB consider that the case may seriously damage IP's credibility. In course of suspension, CB shall promptly investigate if there is reason for exclusion. The timetable for the investigation shall be announced B/P as soon as possible, within 3 working days from the first contact with B/P in the current case.
- If B/P, despite reminder, has not paid the annual system fee to SKAB, the certificate must be deducted until the fee has been paid.

### EXCLUSION

Following exclusion, the certificate is revoked and the B/P may not state that the company's products/services are certified according to IP. Products and materials produced before the date of the exclusion and during the time of exclusion are not consid-

ered approved. If such products have already been delivered to a customer, and there is a risk that this could seriously damage the IP's credibility, the CB may decide that products must be revoked (see examples below). The same applies if there is a risk that the products are hazardous to health.

Re-entry following exclusion cannot take place until a minimum of 6 months have elapsed.

Exclusion and withdrawal of certificates shall occur where:

- The B/P under suspension has not made the necessary corrective actions.
- A non-compliance of a red point (which has been resolved within the 28-day period in previous audits) is repeated 3 times in a row.
- If non-compliances are revealed to an extent that it violates the core values of the IP system and if not corrected, there is a risk that the credibility of IP will be damaged, see example 3.1.8.

The B/P shall not face exclusion if they can show that the infringement occurred due to an event beyond their control. Examples for when the CB shall not impose exclusion include:

- If the infringement is caused by an employee of the B/P, even though the B/P has given clear instructions to staff and performs active monitoring of compliance.
- If the infringement has occurred due to mechanical failure or another event outside of the B/P's control, despite the occurrence of professional maintenance.

### GROUP AFFILIATED B/P's

For group affiliated B/P's the sanctions apply in the same manner as above, except that it is the PGC who decides upon sanctions. Any such decision, including the scope and reasons for the decision, shall be promptly notified to the CB and SKAB.

## 1.4 ISSUE OF CERTIFICATES, ATTESTATION AND AUDIT ATTESTATION

The certificate is issued after decision of certification. Information according to Appendix 6 shall be given to the B/P together with the certificate. During the training period, the CB can issue an attestation. Applicable parts of 1.4.1 shall be applied.

Certificates are issued only for individual certifications or to the PGC. The PGC can issue audit certificates to approved suppliers, which shows that they are part of the PGC's certification. Applicable parts of 1.4.1 shall be applied.

### 1.4.1 THE CERTIFICATE'S CONTENTS

ALL

- A Certificate can only be issued to one company (sole proprietorship or legal person).
- One company (sole proprietorship or legal person) may have several certificates.

Issued certificates must contain information about issuing CB, registered company name, B/P organization number, duration of certification, certified operations, any additional or completing certification, possible crops/cultures and IP/GC/KC number, see below.

Any terms for certification shall be stated. If certain control points, based on decisions from the responsible authority, have not been



assessed according to the verification requirements in the IP-standard (see 1.1.4 and 1.2.5), the control points which the exemption applies to and the reason for it, shall be stated.

Each certificate must contain a number that is unique to the certified B/P. The number presented to the CB by SKAB or A/C and must always be entered in combination with the current prefix, as below.

1. For certification according to the Sigill level, IP-number is used.
2. For certification according to a Completing module, KC-number is used.
3. For certification according to the Sigill level and a Completing module, IP-number and KC-number shall be identical and both must be stated on the certificate.
4. For certification according to the Base certification level, GC-number is used.
5. For certification according to the Base certification level and a Completing module, GC-number and KC-numbers shall not be identical.

If the B/P is certified in accordance with both the Sigill level and the Base certification level, a certain certificate shall be issued for each level.

If there is no workforce at B/P, it is possible for CB to indicate this at the certificate.

#### PRIMARY PRODUCTION

A certificate may include several production units and plants.

- Each production unit that is inspected shall be indicated by an address. The property designation shall be noted if there is an ongoing parallel production.
- Each production place shall be indicated by a production number.
- It shall be clearly stated what production focus the certification covers, which crops, cultures, animal species or products that are certified, the level of IP standard referred to and if the certification includes any additional and/or completing certification.
- Eventual optional certification shall be clearly connected to current production focus and, when appropriate, to current crop/culture.
- For PCF, the certificate shall refer to the certified organizations list over contract growers.

#### FOOD

- The activities covered by the certification shall be clearly stated on the certificate. A certificate shall normally include one plant, exceptions may be made as below.
- Audited plants shall be indicated by property name and postal address. Mobile facilities shall be indicated by registration number.
- Exceptions: If several plants are included in the certification, there shall be an agreement regarding the scope of the certification before audit and the following shall be met:
  1. The plants have the same registration number.
  2. All plants have been approved at entry audit.

3. The plants that are covered are clearly stated on the certificate with address and postal name, mobile plants with their registration number.
4. The plants have common quality management routines with a joint responsible manager.
5. Plants are included the same production flow for a certain product(s) alternatively, identical products are produced with identical methods at the facilities. For example, a certificate can be valid for a slaughterhouse, a cutting plant and a cold store that meets these points. A certificate can also be valid for several restaurants within the same company.

#### 1.4.2 NEW CERTIFICATE

The CB can issue certificates following an approved audit. For a new certificate to be issued the requirements under sections 1.1.1 and 1.1.2, and the checklist in Appendix 3 must be fulfilled.

#### 1.4.3 VALIDITY OF THE CERTIFICATE

The validity of the certificate is dependent on the date of the initial audit. Certificates that are issued at this date is valid for 24 months. Thereafter the certificate shall be renewed every 24th month from the day and month of the initial audit, provided that:

- the terms for affiliation according to section 1.1 are continuously met.
- the annual fee to SKAB is paid.
- the businesses scope focus or ownership conditions has not changed significantly.
- an annual self-assessment has been performed against the current version of the standard.
- the B/P was approved during the audit and at eventual sample audit.

For B/P with an operation that involves 1.1.4 (Time limited exemption from the production rules at the Base level as a decision by an authority), the certificate shall not be valid longer than during the time the authority's decision applies. When the authorities permit for temporary exemption is revoked, the CB shall, as soon as possible, ensure that the relevant requirements of the IP standard are met, and a new certificate is issued.

#### Transition period

When a new version of the IP standard's modules enters into force, the current certification decision / certificate is valid until the next audit in accordance with 1.2.1.2 or 1.2.4, unless SKAB announces otherwise in connection with the new version having been accepted by Swedac.

#### Changed validity for a certificate

The CB can extend the validity of a certificate up to 4 months.

Example of when this applies is when it is necessary to fulfil the requirements during different periods during the year or if audit was not performed due to negligence on the part of CB. When a certificate is renewed, the validity period shall always be with 24 months interval from the day and month of the initial audit. Alternatively, the date that the CB has decided in consultation with B/P. Example: Initial audit is conducted 1st of June 2013. The certificate shall be valid until 1st of June 2015. The CB can extend the validity for this certificate until the 30th of September 2015. However, when a new certificate is issued it shall be valid from 1st of June 2015 until 1st of June 2017. Certificates with shorter validity can be issued if there are reasons for it e.g. at the request of B/P or during transfer of certification (change of CB).

#### 1.4.4 ALTERED CIRCUMSTANCES

The certified B/P has an obligation to immediately notify any planned changes in production that may affect the products or services subjected to certification so that their properties with respect to food safety, animal welfare or the environment may alter, or that conditions used to base previous certification decisions have altered. The information shall be reported to the CB who shall decide on further actions. If the CB decides that an extra audit is required, the B/P must receive the audit within a reasonable time. Furthermore, requests to extend/change the scope of the certification shall be reported to the CB.

EXAMPLES OF CIRCUMSTANCES IN WHICH THE B/P MUST NOTIFY CHANGES:

Report to the CB if:

- the B/P changes ownership.
- the production expands by for example, adopting new arable land or if existing production facilities are build-outs.
- the business is moved.
- the B/P wishes to extend the scope of the certification.
- the PCF expands the number of contract growers by more than 10%.

#### 1.4.5 TRANSFER OF CERTIFICATE TO NEW OWNER

If a new owner has been engaged in the certified B/P prior to the change of ownership, the CB can decide to transfer the certificate without conducting an extra audit.

#### 1.4.6 TRANSFER OF IP-NO/GC-NO/KC-NO

The IP-no/BC-no/KC-no can be transferred to a new owner of the IP certified business if following terms are fulfilled:

- the previous owner is not excluded
- the new owner has not been excluded the last year
- the annual fee for the IP standard is paid.

The transfer of IP-NO/GC-NO/KC-NO is done by the CB by reporting to SKAB or A/C that the B/P is approved for certification. SKAB (A/C) can then transfer the old IP-no/BC-no/KC-no to the new owner if the B/P wishes. The requirements above applies to register members as well.

### 1.5 WITHDRAWAL FROM THE SYSTEM

Withdrawal from the system is done at one's own request to the CB (for individual certification), or PGC (for group certification). Withdrawal can occur at any time during the year. The exit date is specified by the B/P on the withdrawal application. Raw materials/products or services produced after that date are not approved under the IP standard.

### 1.6 COMPLAINTS AND APPEALS

The CB shall have functioning routines for handling complaints concerning certification in accordance with the IP standard. Complaints relating to the audit's implementation: booking, information, treatment, reports, along with judgments and requests for reviews of decisions, etc., should be addressed directly to the CB or for a group certification to the PGC. The CB shall have procedures to receive, document and correct any errors in the services they perform. They must also have an independent certification committee or alternative according to ISO 17065 who, amongst other things, handles appeal regarding decisions regarding certification and any sanctions which have been applied.

Complaints must be dealt with within a reasonable period and the B/P must within a week receive information regarding the time frame for this. Issues regarding complaints must be documented.

The CB should inform the B/P regarding the possibility of appeals.



## 2 GROUP CERTIFICATION

Groups of B/P's or a group of plants within a company (legal entity) can affiliate to IP. Every individual B/P or plant of a group must meet the same requirements for certification as an individual affiliation. A group member can only be included in the group certification following an approved audit. The B/P or plant, through special requirements for segregation and traceability (see section 2.6.14) is under its own responsibility, able to manage suspended and excluded B/P's or plants. Equivalent requirements for traceability and segregation apply also to products from B/P's or plants who are not part of the IP licensing, but are managed by the PGC.

At a group certification the PGC's organisation and legal entity is certified. Individual B/P's or plants within a group certification supply product to the PGC's organisation which can sell the products as certified. The individual B/P's or plants are not themselves certified but are subcontractors to the PGC. This means that all sale of products with reference to the IP-certification must take place through the PGC.

Basic terms, rules for audits, and the system for sanctions are the same for each individual B/P of the PGC as for an individual affiliation. This means that sections 1.2, 1.4, 1.5 and 1.6 applies.

### 2.1 AFFILIATION CONDITIONS

#### 2.1.1 BASIC CONDITIONS FOR AFFILIATION TO IP

- For each individual B/P included in a group certification, the same basic conditions and standards for parallel production as for an individual affiliation applies, i.e. sections 1.1.1 and 1.1.3.

#### 2.1.2 AFFILIATION REGULATIONS: GROUP AFFILIATION

- Applications must be fully completed with the required information and be signed by the management of the PGC, see Appendix 6.
- Affiliation to the system occurs via an application to an IP accredited CB that have established an agreement with SKAB.
- The PGC shall hold or be part of an approved business registration as a legal entity.
- There must be an accountable board and an executive leadership within the PGC.
- There should be a documented description of the operational areas with respect to certification for IP. The description should cover the production/product type and its geographical area.
- The PGC shall have an effective quality management system to ensure the IP compliance of affiliated B/P's. Supplier audits must also be conducted in accordance with the requirements of the standard. Requirements for management systems are specified in section 2.6.
- There shall be an 'IP manager' for the PGC or the plants who is responsible for compliance of conditions and standards under the IP standard. The IP manager may, for example, be a division/area of work within a dairy operating under the rules of the IP standard.
- There must be a list/record of the B/P's or the plants included in a group certification and their status regarding the supplier's audit.

- An affiliation fee is paid annually to SKAB. Charges are based on the number of affiliated B/P's and covers development and management of the standard. The cost of the audit is paid to the CB.
- If the annual fee is not paid after a reminder, the CB must withdraw the certificate at the request of SKAB.
- The IP manager for the PGC shall sign agreements with each B/P included in the group certification, in which they undertake to comply with the requirements of the IP standard.
- Data used to define the scope of certification and for statistical purposes, shall where applicable, be collected annually from each affiliated B/P for further reporting to SKAB.
- Affiliated B/P's will send a self-assessment for IP to the PGC according to section 1.2.

#### FEE

Fee for group affiliation, see chapter 1. section 1.1.2

### 2.2 AUDIT

To ensure that all affiliated B/P's or plants meet the requirements defined in the production standards, regular supplier audits shall be conducted. The rules for audits of individual B/P's and plants are the same as those for individual certification, i.e. section 1.2 shall be fulfilled. The difference is that, with a group certification, the PGC itself is responsible for carrying out supplier audits of all affiliated B/P's or plants. The PGC shall appoint an audit manager with the appropriate audit management skills who shall be responsible for auditing and reviewing audit reports. See section 3.2.

The PGC's own auditors can only carry out audits of the activities covered by the PGC's certification. The PGC's supplier's audits can be transferred to a CB. This assumes that the CB conducting the supplier audits is independent of the CB that certifies the PGC.

Audits must be informed to the B/P according to Appendix 6 The result of the PGC's supplier's.

### 2.2.1 EXTERNAL AUDIT BY INDEPENDENT CB

A CB that is accredited (according to ISO/IEC 17065:2012) within IP and has established agreements with SKAB according to section 3.1.1, shall perform a system audit of the PGC's quality management system including procedures for supplier audits. An audit of the PGC's quality management systems, see section 3.4, shall take place each year and shall include annual follow-up sample audits of affiliated producers.

#### Follow-up random sample audits

The purpose of the follow-up random sample audits is to examine the PGC's system of supplier audits. They are performed on-site at individual producers. The CB decides how the audit is organised. The results of the group auditor's audits shall be compared and evaluated against the CB's audit results.

The number of follow-up sample audits shall be at least the square root of the total number of producers audited based on an audit period of 24 months. That is, the number of producers who are annually selected for follow-up sample audits shall be the square root of the total number of affiliated producers divided by two:

$$\text{Number of follow-up sample audits} = \frac{\sqrt{\text{total affiliated}}}{2}$$

Some of the follow-up sample audits can be reviewed simultaneously with the supplier audits, i.e. a supervised audit. The distribution of audits and supervised audits is decided by the CB.

In the transitional period between two versions of the production standards the follow-up sample audits shall be in the form of supervised audits to ensure that the same standards are reviewed by both the group's auditor and the CB.

Any non-compliance noted by the CB during follow-up sample audits must be reported to the PGC's audit manager who is responsible for follow-up of corrective actions.

### 2.2.2 RESULTS OF PGC'S SUPPLIER AUDITS FOR GROUP MEMBERS

- The PGC's lead auditor notifies the B/P or plant of the results of the audit, i.e. if the B/P or plant is approved or if any sanctions are to be taken.
- There must be an up-to-date list which covers all affiliated group members' status in respect of audit results to make it clear if they are approved, warned, suspended or excluded.
- The outcome of each audit shall be available from the management of the PGC. The results shall be communicated to the CB quarterly in the form of a list of approved producers. In cases of suspension or expulsion the CB shall

notify the PGC and SKAB at the same time the producer is informed. Here details regarding identity, product/production and duration of the sanctions must be stated.

- Information regarding recently affiliated group members shall be reported to the CB within 14 days following an approved supplier audit
- producer is informed. Here details regarding identity, product/ production and duration of the penalty will be provided.
- Information regarding recently affiliated group members should be reported to the CB within 14 days following an approved supplier audit.

### 2.2.3 TIMESCALES FOR EXTERNAL AUDIT OF THE PGC'S QUALITY MANAGEMENT SYSTEM FOR IP

#### Pre-audit

- A pre-audit of the quality management system is required before the PGC can begin to carry out supplier audits. This is to ensure that supplier audits and other procedures will operate according to the standards.

#### Initial audit

- The first external audit of the quality management system, including subsequent sample audits from individual B/P's or plants, shall be performed when at least half of the supplier audits from group certified B/P's or plants have been performed.

#### Second and follow-up audits

- Subsequent audits shall be conducted annually. They shall be organised so that at least half of the group affiliated B/P's or plants that should undergo supplier audit in the current year, have had time to undergo a supplier audit.

When SKAB inform about changes in the IP-standard, the CO must make sure that PGC has taken appropriate measures.

### 2.2.4 RESULTS OF EXTERNAL AUDIT

The outcome of each audit, issued in the form of a report, is reviewed by the Lead Auditor of the CB, following which a decision is reported to SKAB. The report should indicate whether the requirements of the standard are met with respect to:

- Quality management systems and procedures for supplier audits.
- Subsequent audits.

The decision shall be communicated to the group affiliated business by the CB which also issues the certificate. In cases of suspension the CB shall immediately notify SKAB with the identity and product/production and duration.

## 2.3 ISSUE OF GROUP CERTIFICATES

For the assessment criteria for the quality management system see Section 3.4. Guidelines for assessing the quality management system for group certification.

### 2.3.1 THE CERTIFICATE'S CONTENTS

An IP group certificate is valid for one year from the date that the audit was approved. Issued certificates must contain information that proves HFG's identity and the scope as well as the duration of IP certification. It shall be clearly stated what activities the certification covers (such as crops, cultures, products, services), as well as current modules of the IP-standard, including any additional or completing module, and IP/GC/KC-number (see below). An appendix shall contain a list of all the approved B/P's, included in the certification and a list of related production sites.

Each certified group has a number that is unique to the certification group. The number is provided to CB by SKAB or A/C. The number must always be entered in combination with the current prefix, see below.

1. For certification according to the Sigill level, IP-number is used.
2. For certification according to a Completing module, KC-number is used.
3. For certification according to the Sigill level and a Completing module, IP-number and KC-number shall be identical and both must be stated on the certificate.
4. For certification according to the Base certification level, GC-number is used.
5. For certification according to the Base certification level and a Completing module, GC-number and KC-numbers shall not be identical.

If HFG is certified in accordance with both Sigill level and Base certification level, a certain certificate shall be issued for each level.

### 2.3.2 ISSUE OF CERTIFICATES

For a certificate to be issued to the PGC to, the following standards and terms must be fulfilled:

- The application to the CB has been granted, which includes that the candidate PGC's identity and the scope of certification has been established.
- The required fees have been paid to the CB.
- An external audit by an approved CB has been carried out within a specified time.
- The results of the on-site audit have been approved and should not present any obstacles for group certification.
- The PGC is responsible for arranging proof/copies of the group certification for approved affiliated B/P's and a notice that they belong to the PGC. When the PGC issues audit certificates to approved individual B/P's or plants, the same rules apply for the issue of certificates as for individual certification, see section 1.3.

### 2.3.3 ALTERED OF CIRCUMSTANCES

The PGC has a duty to promptly notify any changes in production that may affect the products covered by the certification. The obligation includes changes that affect food safety, animal welfare, the environment, working conditions or other changes that may affect the base for certification. The information should be reported to the CB, along with any requests to extend/change the scope of the certification. Individual B/P's or plants have a duty to notify the PGC with information regarding changes in production that in the same way affect the certification-related products/services regarding food safety, animal welfare, the environment or working conditions.

## 2.4 WITHDRAWAL

The CB and SKAB shall be notified if the PGC wishes to leave the certification. Withdrawal can occur at any time during the year. If B/P's and plant within a group certification wishes to leave, the B/P or the plant shall report this to the head of the PGC, which in turn shall notify the CB and SKAB.

## 2.5 COMPLAINTS AND APPEALS REGARDING DECISIONS OF THE AUDIT

### 2.5.1 COMPLAINTS

Complaints relating to the on-site audit implementation: booking, information, treatment, reports, etc., should be addressed directly to the CB. The CB shall have routines to receive, document and correct any errors in the services they perform. Complaints shall be dealt with within a reasonable period and the PGC shall within one week receive information regarding time frame for dealing with the complaints.

Likewise, any complaints from individual B/P's or plants regarding the internal (group) audit's implementation: booking, information, treatment, reports, results and evaluation, etc., shall directed to the PGC. (See also section 2.6, Requirements for quality management systems for group certification).

### 2.5.2 APPEALS AGAINST DECISIONS

Requests for reviews of decisions taken by the CB shall be directed to the CB's certification committee. The CB shall provide information regarding the possibility to appeal.

## 2.6 REQUIREMENTS FOR THE QUALITY MANAGEMENT SYSTEM FOR GROUP CERTIFICATION

A quality management system for the operation/management of the IP standard, including supplier audits, shall exist. In cases where a business/group already has a quality management system, such as ISO 9001 the existing system can be extended to include the rules regarding the IP standard.

### 2.6.1 MANAGEMENT STRUCTURE

The PGC must have a management structure that ensures that there is enough qualified staff to guarantee that the requirements of the IP standard have been fulfilled by the affiliated and registered B/P's.

There shall be a documented organisational structure of the PGC which describes that there is:

- One member of management with responsibility, authority and competence within the IP standard, that as well acts as a contact person towards SKAB.
- A person responsible for the operation of the IP standard.
- A person responsible for the operation of the quality management system according to 2.6.2,
- Supplier Auditors/department for the supplier auditing.
- Lead Auditor for the IP standard.
- Technical competence of the IP standard within the PGC.
- Job descriptions setting out tasks and duties of each person who is involved in the quality management system and operation of the IP standard.

### 2.6.2 QUALITY MANUAL

- The quality management system shall be documented in a quality manual.
- Policies and procedures shall be detailed enough to ensure compliance with the standards and terms of the IP standard.
- Relevant policies and procedures shall be available to all affiliated B/P's and for all persons involved in the quality management system.
- The contents of the quality manual shall be reviewed regularly to ensure that it complies with the current standards and terms of the IP standard.

### 2.6.3 DOCUMENT MANAGEMENT

**Document management shall include:**

- the quality manual
- procedures to manage and implement the requirements of the IP standard
- instructions regarding the management of all documents
- records and reports
- external standards, i.e. IP (to be included in the audit hand book).

**All documents required for IP shall be managed according to the following:**

- There shall be a procedure describing who is responsible and how documents shall be issued.
- All documents shall be reviewed and approved by the persons responsible before documents are distributed to the responsible persons or B/P's and/or other interested parties.
- All documents must be identified with an issue number, date and number of pages.
- Changes that occur in the documents must be approved by the persons responsible and where possible, an explanation to the changes shall be provided.
- The documentation must be available to all persons working with the quality management system.
- There must be a procedure/system to ensure that documentation is updated and that documentation that is no longer valid is destroyed/archived in a satisfactory manner.

### 2.6.4 RECORDS AND REPORTS

- The PGC shall keep records/reports which show that the quality management system and that the requirements specified

within the IP standard are met.

- Documentation relating to the quality management system for the IP standard shall be saved for at least three years.
- Records shall be valid and legible and shall be made available for external audit.

### 2.6.5 SKILLS AND TRAINING REQUIREMENTS FOR STAFF

- PGC shall ensure that the staff performing duties under the standards and terms laid down in the IP standard and applicable to the PGC and its management have adequate training and skills for the task.
- There shall be report cards/list of merit for all the people working within quality management with respect to the IP standard which demonstrate that the staff are competent for the task.
- If there is more than one Supplier Auditor, a training program for Supplier Auditors shall be present.
- There shall be procedures to enable standardisation of the Supplier Auditors.
- There shall be routines to ensure that, for example, information and the implementation of new legislation or new standards and terms within the IP standard is communicated throughout the organisation.

### 2.6.6 ADMINISTRATIVE STRUCTURE

The administrative structure of the PGC shall be documented and clearly show the relationship between the B/P or the plant and the PGC.

### 2.6.7 CONTRACT

There must be written agreements between each B/P and the PGC. The contracts shall contain information as specified in Appendix 4.

Statistical information as specified by SKAB shall be collected annually, preferably in connection with the self-assessment.

### 2.6.8 REGISTER OF AFFILIATED B/P's

There shall be a register containing details of all the B/P's that are affiliated to IP and the applicable handbooks covered. The register shall contain the following information for each B/P:

- name of the B/P or the plants.
- organisation number.
- contact address.
- visiting address.
- registered products that have been produced.
- growing/production site for each registered product.
- date of completion of supplier audits.
- status (approved, suspended, excluded).
- registration of submitted documentation for administrative audit.

### 2.6.9 REQUIREMENTS FOR REPORTING

The PGC is responsible for:

- continuously, but at least every six months, report changes within IP certifications (e.g. numbers affiliated, excluded) to CB.

- at exclusion or suspension (as specified in the certification requirements for IP) notify CB, SKAB and A/C while the B/P is informed.
- annually report statistics of non-compliance for each module to CB.
- annually report the statistical data as directed by SKAB.
- that all data recorded and reported is complete and accurate.

#### 2.6.10 HANDLING OF COMPLAINTS

- The PGC shall have a system to effectively deal with complaints from customers, suppliers and other interested parties, related to the IP standard.
- There must be documented routines to show how the complaint is received, registered, identified, investigated and followed up. These routines shall be available to customers.
- The routines shall include both complaints addressed to the PGC and to individual affiliated B/P's or plants and applicable IP-certified production sites.
- The routines shall also include complaints from the supplier's audited B/P's or plants, such as dissatisfaction with the way an audit was performed, the auditor's conduct, etc.
- Complaints shall be dealt with within a reasonable period and feedback to the person complaining shall be given within one week.

#### 2.6.11 INTERNAL AUDIT

##### Internal audit of the quality management system

- An internal audit of the quality management system for IP shall occur at least once a year.
- Internal auditors shall be properly trained and be independent of the area audited.
- There must be a documented internal audit plan, supplemented by non-compliance reports, and corrective actions and requirements for further follow-ups identified during the internal audit. This documentation shall be available at external audits.

##### Supplier audit for affiliated B/P's and plants

An audit of affiliated B/P's and plants shall be carried out at least every two years in addition to the annual random sample audits as specified in paragraph 2.2. All control points that are part of the standards within IP shall be audited.

- There shall be established procedures/systems for the review of audit records and for assessment of a pass/fail.
- The person(s) responsible for approving and excluding individual B/P's or plants must have skills equivalent to a Lead Auditor.
- Recently affiliated B/P's or plants for group certification shall always be audited and the results must be approved before they are included in the list of affiliated B/P's or plants.
- Audit reports, and monitoring and assessment of non-compliance, shall be made available at the external audit.
- Audit reports shall include information specified in Appendix 5.

##### Requirements for lead supplier auditor and supplier auditors

- The Lead Supplier Auditor shall comply with the requirements for a Lead Auditor specified in section 3.2.
- Supplier Auditors shall comply with the requirements for Supplier Auditors referred to in section 3.2.
- Internal Lead Supplier Auditor and Supplier Auditors shall maintain confidentiality and be independent of the B/P according to sections 3.1.5 and 3.1.6.
- The PGC are required to participate in the briefings and calibration meetings according to section 3.1.1 arranged by SKAB.
- The PGC shall have internal procedures for the calibration of auditors.

##### Non-compliance management

- There must be a system that manages deviations and corrective actions that arise in the supplier audits or external audits, customer complaints or any shortcomings in the quality management system.
- Procedures for handling deviations shall be documented and included in the PGC's quality management system.
- Corrective actions must be specified along with the date when these will be implemented and the person responsible.

#### 2.6.12 APPEALS OF AUDIT DECISIONS CONCERNING SUPPLIERS

A request to review decisions by the PGC relating to suppliers shall be made directly to the person in the PGC's management that has responsibility and authority over the IP system.

#### 2.6.13 MANAGEMENT REVIEW

The PGC's management shall regularly (preferably once or twice a year) review the quality management system and evaluate its effectiveness. If the PGC already holds a certification for quality management, the same management team can take responsibility for IP's management system. The IP manager must be involved in management reviews. Prior to this review, it is important that the necessary information, such as the result of internal audits is collected to allow management to carry out the evaluation. Management reviews shall be documented.

The management review shall include the procedures that are in place to ensure compliance with the requirements of IP.

#### 2.6.14 TRACEABILITY AND SEPARATION

- Products that meets the requirements to be designated as raw products certified according to the Base level or Sigill level and marketed as such, shall be traceable and held separately to ensure that they are not mixed with non-IP-certified products/raw products.
- There shall be a documented procedure to identify products/raw materials certified according to the Base level and/or Sigill level as well as other products, that describes the traceability.
- For dairy farmers, the PGC must have the capacity to collect and take care of non-certified milk from excluded B/P's within the group for at least 28 days. This is to ensure that the suspension can be implemented in practice without forcing the producers to violate environmental legislation.

### **2.6.15 SANCTIONS**

- The PGC shall implement a system of sanctions in its supplier audit activities in line with the sanctions set out in section 1.3.
- Each affiliated B/P and plant shall read and be aware of the sanctioning procedures that apply. These are described in the production standards (handbooks) for IP and the General Regulations.
- While the B/P and plant is informed, the PGC shall inform the CB that the B/P or plant has been subjected to sanction.
- There must be documentation/reports of any decisions made regarding sanctions, including any required actions and how the decision was made.

### **2.6.16 WITHDRAWAL OF CERTIFIED RAW MATERIALS AND PRODUCTS**

- There must be documented routines to ensure that IP-approved raw materials, and products made by IP raw materials can be withdrawn if required. The routines shall specify which type of events that can result in a withdrawal of raw material or product and which people who are responsible for making the necessary decisions regarding withdrawal. In addition, the routines shall include a description of how customers, the CB and SKAB shall be informed and how the withdrawal of raw materials and products shall be performed.
- Procedures must be tested at least once a year to ensure the safety and efficiency of the system and test needs to be documented.

### **2.6.17 HIRED SERVICES**

- There shall be routines to ensure that any hired services meet the relevant requirements specified within IP.
- There must be documentation that demonstrate that hired services have the necessary skills required for the task.
- Hired services shall work under the PGC's quality management system and confirmed by the contract.



# 3 CERTIFICATION BODIES

## 3.1 REQUIREMENTS FOR CERTIFICATION BODIES SEEKING CERTIFICATION ACCORDING TO THE IP STANDARD

### 3.1.1 ACCREDITATION AND AGREEMENT

1. The CB must have applied to SWEDAC or corresponding organization for accreditation according to ISO/EC 17065:2012, for IP and associated production sectors. Application for accreditation at Sigill level also includes accreditation at the Base level Certification within the primary production. The CB must have signed an agreement with SKAB.
2. The CB must be accredited within 12 months after the agreement with SKAB.
3. A copy of the application seeking accreditation shall be sent to SKAB at the signing of the agreement.
4. Once accreditation is obtained, the CB shall submit a copy of the accreditation certificate to SKAB, which specifies the scope of the accreditation.
5. The CB must participate in the briefings for CB's convened by SKAB. SKAB will provide documentary evidence of the CB's participation.
6. The auditors of the CB must achieve at least "approved" at written tests that Sigill can arrange in conjunction with education.
7. The CB shall participate in the calibration meetings convened by SKAB. The CB's representation must correspond to the scope of the accreditation. SKAB will provide documentary evidence of the CB's participation.
8. The CB shall have procedures for the internal calibration of auditors who assess IP.
9. The CB must have routines for implementing of new versions of the IP-standard in the operation. This must be done within 2 months from that the changes have been notified. This involves e.g. extended accreditation as well as adjustment of audit checklists.
10. CB shall have routines for taking the necessary measures if SKAB announces errors in the current version of the IP standard. If SKAB states that the matter is urgent, the measures must be taken immediately.

### 3.1.2 REQUIREMENTS FOR THE CB's OPERATIONAL PROCEDURES

1. The CB shall perform IP certifications in accordance with the specification for the certification requirements for IP.
2. The certification process must be well documented in the CB's procedures for certification and follow the headings within the IP, beginning with Affiliation Conditions.

3. Documentation regarding decision for certification shall be collected
4. Documentation that shows that all rules have been controlled should be available e.g. a completed checklist.
5. Documentation that describe how non-compliances are dealt with shall be available
6. The CB is responsible that the information documented (e.g. audit reports, certification status, etc.) must be available upon request by SKAB and Swedac.
7. The CB must have a person responsible for IP and serves as a liaison to SKAB.
8. The person(s) responsible for issuing the certification decision (audit decision), shall have competence equivalent to a Lead Auditor.
9. When a B/P or PGC previously holding an IP certification applies for transfer of the certification, the CB shall act in accordance with "Transfer of responsibility for certification/recognition of certification status", see section 3.6.

### 3.1.3 REQUIREMENTS FOR REPORTING TO SKAB AND A/C

#### CB SHALL HAVE ALLOCATED RESOURCES AND ROUTINES TO ENSURE THAT REPORTING TO SKAB AND A/C TAKES PLACE IN ACCORDANCE WITH THE REQUIREMENTS BELOW.

1. Notifying SKAB and A/C when the pre-audit is approved, together with the date of the audit at the same time as the B/P is informed.
2. In cases when the application does not result in any introduction audit or if the introduction audit has not been approved, SKAB and A/C should be notified as soon as possible.
3. If the annual fee has not been paid after a reminder, SKAB and A/C will inform the CB regarding this. The CB shall withdraw the certificate within 14 days from the date of request.
4. Notifying SKAB in cases when certain control points, based on decision by the responsible authority, have not been assessed according to the verification requirements in the IP-standard.
5. Reporting suspensions and exclusions of any B/P's, to SKAB and A/C at the same time as the B/P's in question are notified. Following information must be given: name of contact person, name of company, mailing address, organization number, IP-number or GC-number.
6. When suspension is canceled, notify SKAB and A/C at the same time as B/P is announced.
7. Notifying SKAB and A/C any suspicions of non-compliance with red points that are contrary to IP's core values and may risk serious damage to IP's credibility. For examples of such non-compliance, see section 1.3.
8. Notifying SKAB and A/C in cases of voluntary withdrawal.

9. In cases of changes in the certified B/P that affects the certified operation e.g. changes in owner, name of the company, the extent of the operation, newly added parallel production as well as approval from an authority to make exemptions from certain control points, SKAB and A/C shall be notified within 2 weeks.
10. The annual reporting of statistics on non-compliance for each module.
11. The annual reporting of statistical data as specified by SKAB.
12. All data recorded and later communicated is complete and correct.

### 3.1.4 CERTIFICATION OF INDIVIDUALLY AFFILIATED B/P's

- A certificate showing that the requirements of IP are met by the B/P can be issued by the CB that are accredited by Swedac or corresponding organization.
- Decisions regarding certification/issue of certificates shall be taken after the audit report has been reviewed, any corrective actions reviewed, and any non-compliance corrected.
- CB's who are not accredited, can during the training period, issue a certificate to the B/P as a proof that the B/P meets the requirements of IP, see 1.2.7.

### 3.1.5 CONFIDENTIALITY

The CB must have procedures for confidentiality. This means that all information pertaining to IP-certified B/P's (information on products, processes, non-compliance reports and related documents) must be kept confidential (if not legally specified otherwise). No information may be released to third parties without the B/P's prior written consent, or if it is specified in the standards and terms for IP. An exception is granted when the B/P changes CB. At the affiliation of the B/P, the CB must inform the B/P that an exception to confidentiality is made for the replacement of a CB. Exceptions are also granted in the accreditation process, where Swedac has the possibility to carry out their part of the audits in order to be able to control the work of the CB. Confidentiality also applies to Swedac.

### 3.1.6 CODE OF CONDUCT

The CB auditors are an important liaison between the B/P and SKAB. Therefore, the auditor's conduct is of major importance to the impression given to the B/P, of IP and SKAB.

**To guarantee that the B/P receives professional treatment, the CB shall ensure that:**

- There are routines for communicating with the B/P. This includes, for example, that the B/P receives information about which company the auditor comes from and that the audit regards IP. It also means that the B/P is clearly informed about times and deadlines for the certification decision (audit decisions), decisions regarding sanctions and the

handling of appeals.

- The auditors have appropriate and representative clothing. Clean protective clothing and shoes should be used if necessary.
- The audit is performed regarding food safety and infectious diseases.
- Auditors are loyal to SKAB and their duty. This means that auditors shall be objective in their contact with the B/P and avoid personal comments about IP or the B/P.

### 3.1.7. INDEPENDENT AUDITS

- The CB shall ensure that its auditors are not engaged in activities, or have personal relationships, which can cause them to be regarded as biased. Examples of conflicts of interest is having a relative in, or being a neighbour of, the business. Getting to know companies through audits is not considered to be a conflict of interest.
- An auditor can make a maximum of three audits at the same company. Exemptions can be made during certain circumstances e.g. if there is long distance between certified companies.
- The CB and/or the auditor must not conduct individual consulting directed to the B/P that are to be certified.
- Auditors must follow the CB's confidentiality procedures.

### 3.1.8 ROUTINES FOR MANAGING SUSPECTS ABOUT NON-COMPLIANCE

- The credibility of the IP standard is dependent on CB's routines for supervising the certified B/P, and planned audits constitutes the main part. In addition, routines for evaluating suspicions about non-compliance and whether this might damage the credibility of the IP standard, are critical. This may include government reports and information from the public or media.
- CB shall have procedures for promptly, normally, within 3 working days from date of suspicion against B/P, to decide on depreciation or continued investigation of the case and if the case is such that it is likely to damage the credibility of the IP standard. See example below.
- CB shall have routines to carry out the investigation without delay, following a decision as above. If the case is such that it is likely to damage the credibility of the IP standard, CO shall suspend B/P and investigate the suspicions. See 1.1.1 "Obligations during the time of affiliation" paragraphs 1 and 4, 1.2.1 "Extra audits" and 1.3.1 and 1.3.2. An investigation of such cases shall include sampling and analysis of, for example, bacteria or plant protection products and an unannounced extra audit which normally should be carried out within 3 business days, except in cases where CO can show that audit is unnecessary. If CO decides to suspend or exclude B/P, SKAB and A/C should be notified immediately.



Examples of conditions that risk damaging the credibility of the IP standard

All levels

- Serious hygienic shortcomings affecting product safety.
- Neglected animals within the certified operations.
- Careless handling of pesticides within the certified operations (e.g. if the application of plant protection products is made by staff lacking proper training or if banned products are used.)
- If the producer has made improper use of the IP certificate for example by referring as certified, products and processes not covered by the certificate.

Sigill level

- Use of GMO
- Violation of the grazing requirement.
- Absence of protection zones.
- Actions have caused damage to soil or water that seriously reduces the conditions for biodiversity.
- Neglected animals within the company.

Completing module Working conditions

- Considerable shortcomings in working conditions.
- Considerable shortcomings in social conditions.

### 3.2 QUALIFICATION REQUIREMENTS: LEAD AUDITOR AND AUDITORS

CB shall have a Lead Auditor leading the audit process and Auditors conducting on-site audits at B/P's.

The qualifications required by the auditors vary depending upon the type of activity to be audited. The qualifications can be acquired in various ways, either by comprehensive theoretical studies, supplemented by practical experience, or through long practical experience, supplemented by a shorter training period. Due to the specific nature of the various activities involved, some practical experience from the activities they audit is required. Note that the qualification requirements for Lead Auditor and Auditor applies for both the CB and the PGC, unless otherwise stated.

#### 3.2.1 LEAD AUDITOR: JOB DESCRIPTION/ MAIN DUTIES

CB AND PGC

- **Responsible for the internal quality of work involving certification activities.**
  - Maintain updated documents of procedures, work instructions and records for the current production.
- **Leading and planning audits**
  - Responsible for auditor training and behaviour.
  - Prepare the auditors for their assignments so that they can operate in a credible way and can accomplish an independent audit result.
  - Review the audit reports and take decisions regarding the approval, suspension or failure.

CB

- **Audit of group certified quality management system.**
  - Audit and assessment of whether /how the group certification quality management system meets the requirements of the IP standard.

#### 3.2.2 LEAD AUDITOR: TECHNICAL SKILLS AND EXPERIENCE

The Lead Auditor shall have a thorough knowledge of standards and audit work to be able to lead the auditors' work and ensure that the administration of IP is performed correctly. The specific requirements are presented on [www.sigill.se](http://www.sigill.se).

#### 3.2.3 LEAD AUDITOR: EDUCATIONS AND EXPERIENCE WITHIN SPECIALIST AREAS

The Lead Auditor must have comprehensive knowledge of the specialized areas that are audited. The specific requirements are presented on [www.sigill.se](http://www.sigill.se).

#### 3.2.4 AUDITORS: MAIN DUTIES

**Audit of B/P**

- Audit of B/P according to section 1.2.

**Other duties**

- Shall be updated with the latest developments regarding the legislation in the areas audited.

#### 3.2.5 AUDITORS: TECHNICAL SKILLS

The auditor shall have comprehensive knowledge of standards and audit work in order to conduct audits properly. The specific requirements are presented on [www.sigill.se](http://www.sigill.se).

#### 3.2.6 AUDITORS: EDUCATION AND EXPERIENCE IN THE SPECIALIST AREAS

Relevant qualifications can be obtained by either comprehensive theoretical training combined with a shorter practical experience or less theoretical education combined with extensive practical experience. The specific requirements are presented on [www.sigill.se](http://www.sigill.se).

#### 3.2.7 AUDITORS: ADDITIONAL REQUIREMENTS

In order to make accurate assessments regarding food safety, animal welfare and environmental concerns, the auditor must have a thorough knowledge of the disciplines that they will be working within. The specific requirements are presented on [www.sigill.se](http://www.sigill.se).

### 3.3 GUIDELINES FOR ASSESSING THE QUALITY MANAGEMENT SYSTEM FOR GROUP CERTIFICATION

#### 3.3.1 INTRODUCTION

These guidelines describe how the quality management system for group members shall be designed to meet the requirements specified in section 2.6 of IP General regulations. The guidelines for the assessment must be followed by the CB conducting audits of the PGC's quality management system.

#### 3.3.2 ASSESSMENT PROCESS

- The purpose of the assessment process is to evaluate whether the PGC's quality management system meets the requirements specified in section 2.6 (Requirements for the quality management system for group certification) and to check that the suppliers audit of affiliated B/P's or plants is implemented as specified in the IP standard.
- The assessment process thus consists of two parts: Auditing the PGC's quality management and follow-up random sample checks on-site at affiliated B/P's or plants.

#### 3.3.3 AUDIT OF THE PGC'S QUALITY MANAGEMENT SYSTEM

The audit takes about one day and includes:

- An opening meeting with the management of the quality management system.
- A review of all relevant documentation.
- An audit of documentation.
- An evaluation of the supplier audit system.
- A discussion/interview with personnel involved in the quality management system.
- A final meeting which includes the requirements for verification of any non-compliances identified.

#### 3.3.4 SUBSEQUENT RANDOM SAMPLE AUDITS OF AFFILIATED B/P's AND PLANTS

See section 2.2.1

#### 3.3.5 AUDIT AND MONITORING FREQUENCY

- Audits of the PGC's quality management system including follow-up random sample monitoring of the individual B/P's and plants is performed annually.

#### 3.3.6 NON-COMPLIANCE

The PGC is responsible for demonstrating compliance with the requirements of IP. If the audit reveals that the requirements of the IP are not fulfilled, the discrepancies shall be noted in the audit record. The CB shall assess if when the PGC can be approved, i.e. determines if any non-compliances discovered are correctable or if the certification must be withdrawn.

- Any discrepancies noted during the audit shall be discussed during the audit and documented in a final report.
- If there are discrepancies that show that the PGC has systematically mismanaged procedures required by IP, the CB shall decide upon exclusion and communicate this

to SKAB and A/C as described in section 3.1.3.

- Non-compliance noted in the quality management system must be corrected before a group certificate can be issued.
- Any discrepancy noted by the CB at the follow-up random audits shall be communicated to the PGC's Lead Auditor whom is responsible for monitoring. Individual B/P's must correct any non-compliances found before they can be listed as approved under the group certification and mentioned on the approved list.
- If any individual B/P's or plants are discovered, during the follow-up random sample audit, that should be rejected, this does not mean that the PGC's certification is suspended. It is only after the CB has detected repeated and/or serious discrepancies in the supplier audits of several B/P's and in the management of audit reports etc. that a group certificate must be withdrawn.

#### 3.3.7 CORRECTIVE ACTIONS

- Confirmation that the non-compliances have been addressed can be achieved by presenting the relevant documentation or, where appropriate, through photographs.
- There may be times when the actions cannot be approved other than by a second on-site audit for which the CB will request an extra audit fee. All measures shall be examined and assessed as to whether they are enough for the non-compliance to be corrected.

#### 3.3.8 REPORTING

- At the end of the audit, any non-compliances found must be confirmed in writing so that appropriate corrective action can be taken.
- Upon completion of the audit, the entire audit process shall be summarised in an audit report that includes a comprehensive description of how the PGC has met the requirements of IP. The audit report provides the basis for the issuance of a certificate, if the PGC is approved.
- A copy of the audit report shall be provided to the PGC within 28 calendar days of the closure of the audit (which means that any non-compliance must be corrected). Copies of the report can only be made available to other interested parties if the PGC agrees in writing.

#### 3.3.9 CERTIFICATION OF THE PGC

- A certificate showing that the requirements of IP are met by PGC (including the individual B/P's or plants which appear on the PGC's approved list) shall be issued by the CB. A list of all approved B/P's or plants must accompany the certificate.
- The CB is responsible for updating the attached list. The PGC must always be able to present a current list of approved affiliated B/P's or plants for both the CB and SKAB.

- Decisions regarding certification shall be taken after the audit report is reviewed, any corrective actions reviewed, and all non-compliances corrected. Decisions must be made within 28 days of the closure of the audit and communicated in writing to the PGC.

### 3.4 ANNUAL AUDIT OF THE PGC'S MANAGEMENT SYSTEM

The PGC's management system shall be audited annually. This includes an examination of the PGC's activities regarding supplier audits of individual B/P's or plants. The audit of the PGC's management system shall follow the same principles used for the audit of management systems, (e.g. ISO 9001).

#### 3.4.1 REGISTRATION OF RECENTLY AFFILIATED B/P'S TO THE GROUP CERTIFICATION

- Recently affiliated B/P's or plants may be appended to the valid certificate's list of approved B/P's or plants as soon as they become approved through the PGC's procedures for supplier audits of new members.
- The PGC is responsible for updating the CB and SKAB regarding changes to the list of connected B/P's as per section 2.2.2.
- A 10% increase of new member B/P's or plants, based on the latest issued certificate's approved list, can be added to the list within 12 months without requiring the CB to take a larger random sample of B/P's or plants.
- If more than 10% of new member B/P's or plants are added to the certificate's approved list, then an extra audit of the quality management system is required.

### 3.5 TRANSFER OF RESPONSIBILITY FOR CERTIFICATION / RECOGNITION OF CERTIFICATION STATUS

#### 3.5.1 INTRODUCTION

Transfer and recognition of an existing certificate means the transfer of responsibility for the certification from a CB/PGC (referred as "issuing CB") to another CB/PGC which accepts the responsibility (referred to as "accepting CB"). The minimum requirements for the transfer and recognition of certification status are listed in the text below. Stricter requirements than those listed here may be used if they do not discriminate against any B/P or PGC.

#### 3.5.2 TRANSFER AND RECOGNITION OF CERTIFICATION STATUS

Transfer of responsibility for the certification between CB's can be done for any B/P that has a valid certificate or a valid certification testimonial.

Exceptions to the above can occur, after evaluation according to section 3.5.3, if the issuing CB has ceased operations or have had its accreditation for IP withdrawn.

Issuing CB and accepting CB must facilitate for the B/P to change to another CB and make sure that the B/P shall not be without certificate for any period. Meaning that:

- Both the issuing and accepting CB must give complete and correct information to the B/P regarding the transfer process.
- The accepting CB must, together with the B/P, make a timeframe for the transfer procedure that make sure that the B/P shall not be without certificate for any period.
- The accepting CB must, as soon as possible, request the necessary documents according to below.
- The issuing CB must, on request of the accepting CB, within a week provide basis for decision of certification. This involves:
  - A completed checklist of the audit.
  - Documentation regarding non-compliances and corrective measures.
  - Decision of certification (for PGC audit decision).
  - Documentation from the administrative audit.
  - Certificate.

#### 3.5.3 EVALUATION OF EXISTING CERTIFICATION

The accepting CB shall evaluate the certification and ensure that nothing stops continuation of existing certification. The evaluation is achieved by the B/P confirming that the certification requirements are met through documentation. The CB should optionally also visit the applicant B/P's. The evaluation shall include:

- Confirmation that the candidate B/P possesses a valid IP certificate for the handbooks and the production sites to which the application relates.
- A review of the latest audit report according to 3.5.2.
- A review of the company according to 1.1.
- If the applicant has had any compliances on red points during the last audit, a visit at the applicant should be performed where all the red points are checked.

#### 3.5.4 CERTIFICATION

Before the responsibility for the certification can be transferred it must be confirmed that any existing action plans are followed. Primarily this shall be done by the issuing CB. If that is not possible, the B/P shall be monitored by the accepting CB. The accepting CB decides if they will take over the responsibility for the certification, or if further corrective action is required.

The accepting CB can, despite the above, choose to treat the applicant as a new application or conduct an audit of those points that the CB considers to be crucial for the certification. If no barriers or potential barriers to certification have been identified in the evaluation, the accepting CB assumes the responsibility for the certification, a certificate is issued, and the B/P is notified. The accepting CB must inform SKAB and A/C regarding the transfer in connection when the certificate is issued.

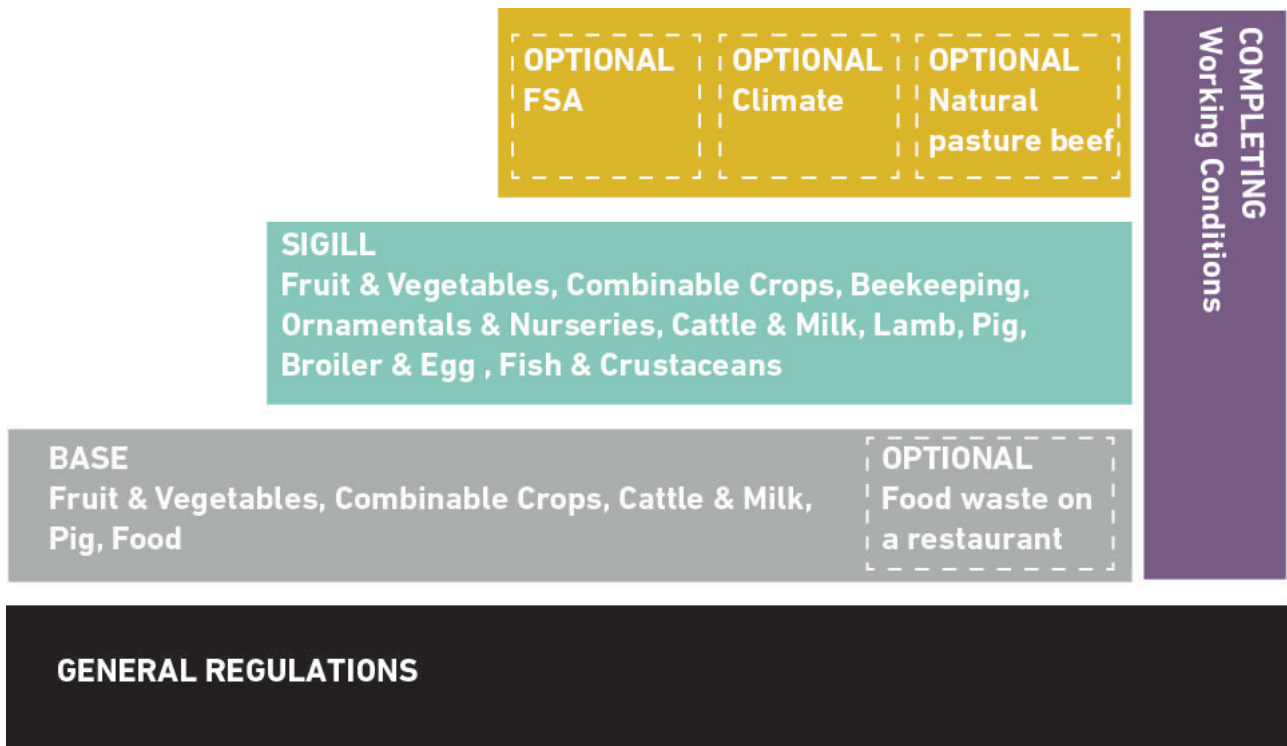
The accepting CB must consider the timing of previous audits and of any random sample audits in the planning of subsequent audits.

# APPENDIX 1

## STRUCTURE OF THE IP-STANDARD

The image below shows how the IP standard modules are related to each other.

Current standard documents can be found at [www.sigill.se](http://www.sigill.se). Changes to the document's status are noted no later than 3 months before the change enters into force.



## APPENDIX 2

### DEVELOPMENT AND MANAGEMENT OF THE IP-STANDARD

The IP-standard is managed and owned by Sigill Kvalitetssystem AB. The development of criteria's is done via a process where all stakeholders can participate in any of the groups where the work is conducted, see below.

#### STANDARDS

The standard counsel consists of representatives from companies and organizations that are stakeholders to the IP standard e.g. food industry, primary production, wholesale, public sector, trade and consumers. The task of the Standard counsel is to function as an advisory body to the SKAB's board and in a comprehensive way monitor that the IP standard develops according to the IP-standard core values. The Standard counsel shall also monitor that the Sigill level within the IP standard develops in a way that corresponds to the consumers expectations. Specifically, this means that the Standard counsel should approve new rules and provide ideas for development.

All changes are affirmed by the Sigill Kvalitetssystem AB's board.

#### FOCUS GROUPS

The focus groups are temporary, and their task is to provide a basis for new rules by investigating, preparing and anchoring a level of requirement within a specific area. After that, the group is dissolved. The participants in the group consist of persons with expertise within the current area of interest. The stakeholders in the Standard counsel can appoint representatives.

#### TECHNICAL COMMITTEE

The technical committee should, based on the focus groups propositions, develop auditable rules. The certification bodies participate in this work and, when needed, representatives from the focus groups.

## APPENDIX 3

### CHECKLIST FOR AFFILIATION OF A NEW B/P

1. The B/P contacts the CB.
2. The CB provides registration form (online or by post), which contains information as directed by SKAB, see Appendix 4. The CB provides information regarding affiliation terms and standards, sends out a handbook with current production rules.
3. The B/P completes the application form and send it to the CB.
4. The CB confirms and make sure that the B/P has taken part of the current rules e.g. by requesting a self-assessment.
5. The CB sends a copy of the application (with information according to Appendix 4) to SKAB or A/C.
6. With the information on the application form as a basis, SKAB or A/C sends a bill with the annual fee to the B/P and inform CB about the IP-no/GC-no/KC-no. SKAB or A/C also report eventual information if the B/P has been certified before according to IP and if the B/P is a subject for any sanctions.
7. The CB evaluates the B/P based on the affiliation terms and the submitted self-assessment.
8. The CB books a time for an audit of the B/P.
9. The CB performs the audit. Within three months, the audit is closed.
10. When the audit is approved, CO must report this to SKAB or A/C, together with the date of the introduction audit. The CB also sends a confirmation of registration to the producer.
11. If no barriers exist, the CB shall issue the certification.
12. If the annual system charge is not paid to SKAB or A/C after two reminders, SKAB or A/C reports this to the CB who shall withdraw the certificate.



## APPENDIX 4

### REGISTRATION FORM FOR B/P AND PCF

The following information is required:

1. Date.
2. Name of the company, name, address, e-mail address for billing or billing address, web address, county, e-mail address, telephone number, mobile number and organisation number.
3. For crop production, the current production units should be indicated with an address.
4. For animal husbandry, the current production place number (SE number) should be indicated. For production of fish and crustaceans, the CVR-number should be indicated showing that registration to the central aquaculture register has been made.
5. For slaughter and food processing, the property destination and address or registration number should be indicated.
6. The extent of the certification: Production sectors, eventual optional levels, additions and eventual crops/culture.
7. When applying for certification according to IP Food or IP Sigill Fish & Crustaceans, the products that are produced must be indicated.
8. When applying for certification according to IP Food or IP Sigill Fish & Crustaceans, the products that are produced must be indicated.
9. Name of the responsible representative at the B/P.
10. Stating that, an approved audit is required as well as a paid annual fee to SKAB for certification. The annual fee for the year of entry to the system, is counted on the number of months that are left of the year from the date that the B/P has indicated on the application form.
11. Information regarding the terms for affiliation according to section 1.1.
12. Information regarding B/P's commitments while affiliated with IP according to 1.1.
13. Information that the company is registered in appropriate official registers, e.g. register of food companies, animal keepers, food production companies and the potato register.
14. Information regarding the extent of the certification which is needed as a basis for the annual fee to SKAB. See separate information from SKAB, not included in this handbook.

# APPENDIX 5

## AUDIT RECORD

An audit record shall be submitted to the B/P after completion of an on-site audit. During the audit written information is provided on the following:

1. Date of the audit.
2. Name, organisation number of the B/P, audited operation, production units and/or production places.
3. The scope of the certification: certified activities (such as crops, cultures, products, services), current modules of the IP standard, including any additional or completing module, Information regarding control points that, on the basis of decision from responsible authority, has not been assessed according to the verification requirements in the IP-standard and the reason for this.
4. Current edition and version of the IP-standard.
5. Information regarding eventual parallel production.
6. A proof regarding the company's proof by responsible representative from B/P (signature or other proof of agreement regarding audit result).
8. Information regarding which time the audit started and ended.
9. If the audit was unannounced, how far in advance of the audit notification was given.
10. The auditor responsible.
11. Proof of approval by the auditor.
12. Eventual terms for certification (for example if the certificate is valid only for harvest delivery).
13. Information regarding which control points that have been audited.
14. Detailed information regarding all confirmed non-compliances and their reference to the standards system.
15. Information regarding which of the non-compliances that regards red points.
16. Information about the possibility of complaints regarding implementation and assessment.  
  
Information about the auditor's recommendation for certification decisions must be submitted orally or in writing (for PGC recommendation for audit decisions).

## APPENDIX 6

### CERTIFICATION DECISION (FOR GROUP CERTIFICATION, THIS IS NAMED AUDIT DECISION)

The certification decision/audit decision shall be sent to the B/P or plant following closure of the audit. Information about the following must be submitted:

1. Date of decision.
2. The scope of the certification: certified activities (such as crops, cultures, products, services), current modules of the IP standard, including any additional or completing module. Information regarding control points that, based on decision from responsible authority, has not been assessed according to the verification requirements in the IP-standard and the reason for this.
3. Current edition and version of the IP-standard.
4. Name and event. organisation number of the B/P or plant.
5. Operation, production unit and/or production places.
6. Responsible auditor.
7. Responsible Lead Auditor.
8. The Lead Auditor's signature.
9. Information regarding any remaining non-compliances and action plans.
10. Information regarding which of the non-compliances are from red points.
11. Decision, namely the granting of certification/ granting of continued certification/or revocation of certification.
12. Information regarding how decisions can be appealed.

# APPENDIX 7

## REGISTRATION FORM FOR PGCs

The following information must be provided:

1. Date.
2. Name of the company, name, address, county, e-mail address, telephone number, mobile number, billing address and organisation number.
3. Description of the business with respect to certification of the IP standard.
4. Name and signature of an authorised representative at the PGC.











